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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. §371**

MERCK 2157

U.S. APPLICATION NO. (If known, see 37 CFR §1.5)

**09/646924**

INTERNATIONAL APPLICATION NO.

PCT/EP99/02001 ✓

INTERNATIONAL FILING DATE

24 MARCH 1999 ✓

PRIORITY DATE CLAIMED

29 MARCH 1998 ✓

TITLE OF INVENTION

USE OF ROR RECEPTORS FOR SCREENING SUBSTANCES USEFUL FOR THE TREATMENT OF ATHEROSCLEROSIS ✓

APPLICANT(S) FOR DO/EO/US

RASPE, Eric, et al.

**Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:**

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. §371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. §371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.
- ☒ A copy of the International Application as filed (35 U.S.C. §371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☐ A translation of the International Application into English (35 U.S.C. §371(c)(2)).
- ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
- ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. §371(c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. §371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §371(c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 C.F.R. §§1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. §§3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:

U.S. APPLICATION NO. (if known, see 37 CFR §1.55) <div style="font-size: 2em; font-weight: bold; margin-top: 5px;">09/646924</div>		INTERNATIONAL APPLICATION NO PCT/EP99/02001		ATTORNEY'S DOCKET NUMBER MERCK 2157	
17. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR §1.492 (a) (1) - (5)):</b> Search Report has been prepared by the EPO or JPO..... \$840.00 International preliminary examination fee paid to USPTO (37 CFR §1.482)..... \$670.00 No international preliminary examination fee paid to USPTO (37 CFR §1.482) but international search fee paid to USPTO (37 CFR §1.445(a)(2))..... \$760.00 Neither international preliminary examination fee (37 CFR §1.482) nor international search fee (37 CFR §1.445(a)(2)) paid to USPTO..... \$970.00 International preliminary examination fee paid to USPTO (37 CFR §1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)..... \$96.00 <div style="text-align: right; margin-top: 5px;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				<b>CALCULATIONS</b> PTO USE ONLY <div style="border: 1px solid black; height: 100px; margin-top: 5px;"></div>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than months from the earliest claimed priority date (37 C.F.R. §1.492(e)). <input type="checkbox"/> 20 <input type="checkbox"/> 30					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	18 - 20 =	0	x \$ 18.00	\$0.00	
Independent claims	4 - 3 =	1	x \$ 78.00	\$78.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$ 260.00		
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$918.00	
Reduction of 1/2 for filing by small entity, if applicable. A Verified Small Entity Statement must also be filed (Note 37 C.F.R. §§1.9, 1.27, 1.28).					
<b>SUBTOTAL =</b>				\$918.00	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than months from the earliest claimed priority date (37 C.F.R. §1.492(f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30					
<b>TOTAL NATIONAL FEE =</b>				\$918.00	
Fee for recording the enclosed assignment (37 C.F.R. §1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. §§3.28, 3.31). \$40.00 per property.					
<b>TOTAL FEES ENCLOSED =</b>				\$918.00	
				Amount to be refunded:	
				charged:	
a. <input checked="" type="checkbox"/> A check in the amount of <u>\$918.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. <u>13-3402</u> in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-3402</u> . A duplicate copy of this sheet is enclosed.					
<b>NOTE: Where an appropriate time limit under 37 C.F.R. §§1.494 or 1.495 has not been met, a petition to          revive (37 C.F.R. §1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>					
SEND ALL CORRESPONDENCE TO: MILLEN, WHITE, ZELANO & BRANIGAN, P.C. Arlington Courthouse Plaza I 2200 Clarendon Boulevard, Suite 1400 Arlington, Virginia 22201 (703) 243-6333					
Filed: 25 SEPTEMBER 2000 AJZ:jmm				<div style="text-align: center;">          SIGNATURE  <u>Anthony J. Zelano</u>          NAME  <u>27,969</u>          REGISTRATION NUMBER       </div>	

**IN THE UNITED STATES DESIGNATED/ELECTED OFFICE**

International Application No. : PCT/EP99/02001  
International Filing Date : 24 MARCH 1999  
Priority Date(s) Claimed : 29 MARCH 1998  
Applicant(s) (DO/EO/US) : RASPE, Eric, et al.

Title: USE OF ROR RECEPTORS FOR SCREENING SUBSTANCES USEFUL FOR  
THE TREATMENT OF ATHEROSCLEROSIS

**PRELIMINARY AMENDMENT**

Commissioner for Patents  
Washington, D.C. 20231

SIR:

Prior to calculating the national fee, and prior to examination in the National Phase of the above-identified International application, please amend as follows:

**IN THE CLAIMS:**

Claim 9, lines 1 and 2, delete "either of Claims 4 and 8" and insert --Claim 4--;  
Claim 11, lines 1 and 2, delete "any one of Claims 4 to 10" and insert --Claim 4--;  
Claim 12, lines 1 and 2, delete "any one of Claims 3 to 11" and insert --Claim 3--;  
Claim 13, lines 1 and 2, delete "any one of Claims 3 to 12" and insert --Claim 3--;  
Claim 14, lines 1 and 2, delete "any one of Claims 3 to 13" and insert --Claim 3--;  
Claim 17, lines 1 and 2, delete "any one of Claims 3 to 13" and insert --Claim 3--.

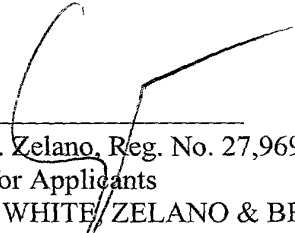
Please add the following claim:

--18. Method of screening according to Claim 8, characterized in that the construct carrying a gene encoding the ROR receptor or a response element of the ROR receptor also comprises a reporter gene.--

**REMARKS**

The purpose of this Preliminary Amendment is to eliminate multiple dependent claims in order to avoid the additional fee. Applicants reserve the right to reintroduce claims to canceled combined subject matter.

Respectfully submitted,



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**USE OF ROR RECEPTORS FOR SCREENING SUBSTANCES USEFUL FOR THE  
TREATMENT OF ATHEROSCLEROSIS**

The present invention relates to the use of ROR  
5 receptors for screening compounds having an anti-  
atherosclerotic activity. The invention relates more  
particularly to the different methods of screening  
which make it possible to identify substances useful  
for the treatment and/or prevention of atherosclerosis.  
10 The invention also relates to the use of the substances  
thus identified for the preparation of therapeutic  
compositions intended for the treatment and/or  
prevention of atherosclerosis.

The invention also relates to the use of  
15 screening tests to characterize, justify and claim the  
mechanism of action of substances for the preparation  
of therapeutic compositions intended for the treatment  
and/or prevention of atherosclerosis.

The orphan receptors ROR (retinoic acid  
20 receptor related orphan receptor), also called RZR  
(17-19), constitute a subfamily of nuclear receptors  
for which no ligand has been identified.

The ROR receptors exist in three forms, ROR,  $\alpha$ ,  
 $\beta$ ,  $\gamma$  (17, 19, 20). The ROR receptors bind in monomeric  
25 or dimeric form, each to a specific response element  
consisting of a sequence rich in A/T preceding a  
sequence of the PuGGTCA type (17, 21, 22), and modulate  
the transcription of their target genes.

Following alternative splicing, the ROR $\alpha$  gene  
30 leads to 4 isoforms  $\alpha 1$ ,  $\alpha 2$ ,  $\alpha 3$  and RZR $\alpha$  (17-19) which  
differ by their N-terminal domain and show DNA  
recognition and distinct transactivating properties  
(17).

ROR receptors will be understood to mean  
35 hereinafter ROR as well as RZR and ROR $\gamma$ , as well as,  
unless otherwise stated, the different isoforms of  
ROR $\alpha$ ,  $\alpha 1$ ,  $\alpha 2$ ,  $\alpha 3$  and RZR $\alpha$ . The invention relates to any  
mammalian ROR receptor but the human ROR receptors are  
more particularly envisaged.

- 2 -

The discovery of ligands for the family of orphan receptors in general and of ROR receptors in particular and the definition of their role in the transcriptional properties of ROR constitutes a research theme of fundamental importance for the understanding of the phenomena of regulation of genes, especially of the genes involved in certain pathological conditions (DN & P 9(3), April 1996).

Melatonin has been proposed as a ligand for a receptor of the family of orphan nuclear receptors ROR/RZR (51). Likewise, PCT international patent application published under number WO 95/27202, based on the teaching of the article by Becker-André et al., describes the use of RZR/ROR $\alpha$  receptors for the screening of substances possessing a melatonin, antiarthritic, antitumour or antiautoimmune type activity.

However, recent studies (52) challenge the effective capacity of melatonin to act as a ligand for the family of nuclear receptors RZR/ROR $\alpha$ .

There is therefore at present no substance whose capacity to act as a ligand for a receptor of the RZR/ROR $\alpha$  family is clearly established.

Several genes whose expression is regulated by the nuclear receptors are known in the prior art. Among them, there may be mentioned recent work showing that the ROR $\alpha$  receptors are involved in the regulation of the expression of the apo A-I gene in mice and rats (53).

Recently, a substantial hypoalphalipoproteinaemia was observed in mice whose ROR $\alpha$  gene is truncated and leads to the synthesis of a nonfunctional protein (sg/sg mouse).

Furthermore, these mice suffer from a more pronounced atherosclerosis than the wild-type SG/SG mice when they are subjected to a proatherogenic regime. This exacerbated response is attributed to the increase in the inflammatory response in the sg/sg mice

- 3 -

and to the substantial reduction in the expression of the apo A-I gene (54).

However, the results obtained in mice are not directly transposable to humans because of the fact that the human gene for APO A-I appears to be insensitive to ROR, which is illustrated by the results obtained by the applicant and presented in the annex (Figure 13). Indeed, the sequences of the promoters of the genes for murine and human APO A-I diverge at the level of the site recognized by ROR.

The inventors have now discovered, surprisingly, that the ROR $\alpha$  receptors are involved in the regulation of the expression of the apo C-III gene both in mice and in humans.

Apolipoprotein C-III is a glycoprotein of 79 amino acids which is synthesized in the liver and to a lesser degree in the intestine. However, apolipoprotein C-III, also designated hereinafter apo C-III, is a key product of the plasma metabolism of triglycerides. It has been shown that the plasma concentrations of apo C-III are correlated to the plasma level of triglycerides, both in a normal population and in hypertriglyceridaemic patients (1-4).

In addition, it has been shown that the apolipoproteins and more particularly apo C-III, play a major role in the appearance of cardiovascular diseases. Indeed, the increase in the apo C-III concentrations in the lipoprotein particles containing apo B (apo C-III-LpB) is associated with an increase in the risk of coronary cardiac diseases (5).

It has also been reported that an apo C-III deficiency caused an increase in the catabolism of the VLDL particles, whereas an increase in the synthesis of apo C-III was observed in patients with hypertriglyceridaemia (6, 7). Apo C-III is therefore directly linked to the catabolism of the plasma triglycerides.

Moreover, genetic studies have demonstrated an association between certain polymorphisms of the apo

- 4 -

C-III gene and high plasma concentrations of apo C-III and triglycerides (8, 9). Likewise, the overexpression of human apo C-III in transgenic animals has as consequence the development of a hypertriglyceridaemia whereas elimination of the endogenous apo C-III gene by homologous combination in mice leads to the reduction of the plasma concentrations of apo C-III and protects the animals against post-prandial hypertriglyceridaemia (10, 11). In addition, the crossing of mice carrying the human apo C-III transgene with heterozygous mice deficient in LDL receptors results in the acquisition of several characteristics of combined familial hyperlipidaemia and causes increased sensitivity to atherosclerosis: the apo C-III gene is capable of inducing the development of atherosclerosis (55).

In addition, the results of studies *in vitro* and *in vivo* indicate that apo C-III acts mainly by delaying the catabolism of particles rich in triglycerides through inhibition of their attachment to the endothelial surface and their lipolyses by lipases specific for lipoproteins, as well as by interfering with the clearance of residual particles in plasma by the apo E receptor (12-16).

Recently, it has appeared clearly that, in addition to the plasma levels of cholesterol and its particulate distribution, the plasma level of triglycerides is a risk factor independent of the development of coronary diseases (56). Indeed, several studies have demonstrated an association between the plasma level of triglycerides and the extent and severity of coronary diseases diagnosed by angiography (58). Finally, recent results of epidemiological studies and of clinical trials strongly suggest that a high level of circulating triglycerides constitutes a risk factor independent of coronary diseases (57).

The reduction in the expression of apo C-III therefore represents a relevant target in order to identify substances possessing antiatherogenic properties.



- 5 -

The present invention is based on the demonstration of a new property of the ROR receptors as positive regulator of the transcription of the apo C-III gene both in mice and in humans. These results  
5 are in particular based on the observation made by the inventors that the expression of the apo C-III gene was severely repressed in staggerer mice known to carry a deletion for the ROR $\alpha$  gene causing the synthesis of a nonfunctional protein (27).

10 These results have made it possible to establish that the ROR receptors constitute a new factor for regulating the expression of genes involved in the catabolism of triglycerides and therefore in atherosclerosis.

15 Consequently, the aim of the invention is to offer means which make it possible to identify new ligands for the ROR $\alpha$  receptors capable of modulating the transcription of the apo C-III gene and therefore capable of influencing atherosclerosis, both as regards  
20 its prevention and its treatment.

The present invention therefore relates to the use of the ROR receptors and/or of their response elements or alternatively of a functional equivalent thereof for the screening of substances having  
25 antiatherosclerotic properties.

The present invention also relates to the use of the ROR receptors and/or of their response elements or alternatively of a function equivalent thereof for the characterization, justification and claiming of the  
30 mechanism of action of substances having antiatherosclerotic properties.

For the purposes of the present invention, ROR receptor designates all the  $\alpha$ ,  $\beta$  and  $\gamma$  isoforms of the ROR family.

35 Functional equivalent of ROR is understood to mean any protein having both:

- a binding site possessing a selectivity comparable to that of ROR $\alpha$  for a given ligand for it, and

- 6 -

- a DNA binding site recognizing the same response element as ROR $\alpha$  or a response element possessing a related nucleic acid sequence.

Functional equivalent of ROR is also understood to mean a chimeric protein having:

- a ligand binding site having a selectivity comparable to that of ROR $\alpha$  for a given ligand for it, and

- a DNA binding site recognizing a response element of a reporter gene cloned upstream of a heterologous promoter, or a protein domain which allows easy purification of the chimera and its specific binding to defined templates such as for example the Maltose Binding Protein (MBP) or glutathione S-transferase (GST). The latter type of chimera has often been used (42). It has the advantage of allowing purification of the protein in one step by affinity column or of specifically separating it by simple procedures well known to persons skilled in the art (coupling to magnetic beads or to resins coated with glutathione, elution with maltose or glutathione, and the like).

Functional equivalent of the response element of the ROR receptor is understood to mean any nucleic acid sequence to which the ROR $\alpha$  receptor can bind and more particularly a sequence derived from the response element of the ROR $\alpha$  receptor.

The ROR $\alpha$  receptor and the response element of the ROR $\alpha$  receptor are more particularly preferred in the use of the invention.

The hROR $\alpha$  receptor, the messenger RNA for hROR $\alpha$  and the response element of the hROR $\alpha$  receptor are more particularly preferred in the use of the invention.

The subject of the present invention is therefore a first type of method of screening substances useful in the treatment of lipid metabolism dysfunctions consisting in bringing the test substance into contact with a receptor of the ROR family and/or a response element of the ROR receptor and/or a nuclear

- 7 -

factor capable of functionally coupling ROR to the RNA polymerase complex, or a functional equivalent thereof, and then in measuring by any appropriate means:

- 5       - the binding of the said substance to the ROR receptor and/or its functional equivalent or the binding of the complex formed of the said substance and the ROR receptor to its response element and/or to a nuclear factor capable of functionally coupling ROR to the RNA polymerase complex, and/or
- 10       - the modulation of the transcriptional activity of a gene placed under the control of a promoter comprising the said response element.

The measurement of the binding of the substance to the ROR receptor and/or its functional equivalent or the binding of the complex formed of the said substance and the ROR receptor to its response element may be carried out by any direct or indirect methods known to persons skilled in the art, such as those using a reporter gene, binding tests, and the like.

20       In the same manner, the measurement of the modulation of the transcriptional activity of a gene placed under the control of a promoter comprising the ROR response element may be carried out by any direct or indirect methods known to persons skilled in the art.

25       In order specify the use of the substance tested in the treatment of lipid metabolism dysfunctions, the method of the invention comprises an additional step aimed at determining by any appropriate means the effect of the said substance on the expression of apo C-III. The determination of the effect of the substance tested on the expression of apo C-III may be carried out by any direct or indirect methods known to persons skilled in the art, such as

30       transfection, analysis of the mRNAs *in vitro* or on models *in vitro* and *in vivo*.

35       A first example of the method of screening according to the present invention comprises the following steps:

- 8 -

a) a cellular host is transfected with a DNA fragment encoding an ROR receptor or one of its functional equivalents,

5 b) the host in step (a) is cotransfected with a construct comprising a response element of the said ROR receptor and at least one reporter gene,

c) the expression of the reporter gene in the presence of the test substance is measured by any appropriate means.

10 The response element used in step (b) may for example consist of the fragment of the apo C-III promoter between positions 1415 and +24.

Any reporter gene which makes it possible to measure the activity of nuclear receptors on the  
15 sequence comprising their response element may be used in the method of screening according to the invention. Among these, there may be mentioned, without being exclusive, for example, the gene for chloramphenicol acetyltransferase (CAT), the gene for the luciferase  
20 from firefly (Luc) or from Renilla (Ren), the gene for secreted alkaline phosphatase (Pas) or that for beta-galactosidase ( $\beta$ -Gal). The activity of the proteins encoded by these genes can be easily measured by conventional methods and makes it possible to know the  
25 effect of the nuclear receptors or the expression of the genes by measuring the quantity of proteins produced and/or their enzymatic activity.

It is understood that suicide genes for selection (such as for example thymidine kinase of the  
30 herpes simplex virus (44)) or genes for positive selection (such as for example genes for resistance to an antibiotic or to nutritional deficiencies) can also be considered as reporter genes because of the fact that cellular survival in selective medium is a  
35 reflection of the activity of these genes.

The action of the ROR receptors and more particularly of the hROR $\alpha$ 1 receptor on the gene for apo C-III reported by the inventors of course makes it possible to use, in the constructs of the invention and

- 9 -

the methods of screening using them, the gene for apo C-III as reporter gene.

In the method of screening of the invention, cellular host is understood to mean any cell type appropriate for the expression of the above genes, such as in particular mammalian, bacterial or yeast cells or alternatively insect cells. The vectors used are of course appropriate for the cell type transfected; there may be mentioned plasmids, viruses or artificial chromosomes.

Another example of this first type of method of screening according to the invention comprises the following steps:

a) a plasmid is created which comprises several copies of a response element recognized by ROR such as for example the consensus site described by M. Lazar (43), the response element(s) identified in the apo C-III promoter. These copies of the response element are cloned upstream of a strong heterologous promoter such as the thymidine kinase promoter of the herpes simplex virus, or a homologous strong promoter such as the apo C-III promoter. This promoter is itself placed so as to control the expression of a reporter gene such as luciferase, CAT, alkaline phosphatase,  $\beta$ -galactosidase and the like.

b) the construct of step (a) is transfected into cells which express ROR naturally or artificially, that is to say after transient cotransfection of an expression vector or creation of a stable line expressing ROR.

c) the host of step (b) is incubated in the presence of the test substance.

d) the activity of the reporter gene is measured by any appropriate means.

An additional example of this first type of method comprises the following steps:

a) a plasmid is created which comprises several copies of a response element recognized by ROR cloned upstream of a promoter which controls the expression of

- 10 -

a suicide gene for selection such as for example the activator of a toxic prodrug such as thymidine kinase of the herpesvirus (44).

5 b) the construct of step (a) is transfected into a cellular host.

c) the host of step (b) is cotransfected with the aid of a vector expressing ROR.

d) The host of step (c) is incubated in the presence of the test substance.

10 e) Cellular survival in the presence of the toxic prodrug is measured by any appropriate means.

The toxic prodrug may be for example ganciclovir.

15 Yet another example of this first type of method comprises the following steps:

a) a plasmid is created which comprises several copies of a response element recognized by the yeast nuclear factor Gal4 cloned upstream of a strong promoter such as for example the thymidine kinase promoter of the herpes simplex virus, which controls the activity of a reporter gene such as luciferase, CAT, alkaline phosphatase,  $\beta$ -galactosidase, growth hormones, toxic prodrug activators (for example thymidine kinase of the herpes simplex virus) and the like,

20

25

b) the plasmid is created from a chimera which comprises the DNA binding domain of Gal4 and the DEF domains of ROR which are the ROR domains to which the ligands bind,

30 c) the plasmids obtained in steps (a) and (b) are cotransfected into a cellular host,

d) the host of step (c) is incubated in the presence of the test substance.

35 The activity of the reporter gene is measured by any appropriate means.

The DEF domains of the nuclear receptors differ between the different members of this family. They comprise sequences involved in the transactivation of transcription and the binding of the ligands and of the

- 11 -

cofactors. The DEF domains of ROR are combined with the Gal4 fragment which contains the first 147 amino acids of Gal4 in order to create a chimera Gal4-ROR which binds to the Gal4 response element and whose transcriptional activity depends on the ligands and/or cofactors for ROR (43).

The basic activity of the chimera may be increased by the insertion of a DNA fragment which encodes all or part of the VP16 protein (45).

10 An additional example of this first type of screening method consists in the quantitative evaluation of the effects of the compounds tested in systems of the "double hybrid" type in yeasts or other cells which comprise the ROR fragments which interact with cofactors and the corresponding fragments of the cofactors (e.g.: N-COR, SMRT (43)) which couple ROR to the transcription machinery and in particular to the RNA polymerase complex.

20 Another example of the first type of the method of screening according to the invention consists in quantitatively evaluating the effects of the compounds tested on the capacity for interaction *in vitro* between the full-length ROR protein or some of its fragments and cofactors or some of their fragments by any technique known in the state of the art (for example by the CARLA approach developed for the screening of the PPAR ligand (42), resonance fluorescence energy transfer measurement method).

30 A final example of the first type of method of screening according to the invention consists in transforming a host cell as defined above with a construct carrying a gene encoding the ROR receptor and its functional equivalent and/or a response element of the ROR receptor, and then in using the said cellular hosts or extracts thereof in binding tests based on the competitive displacement between a cold ligand and a labelled ligand.

The subject of the present invention is also the substances selected by a method of screening

- 12 -

according to the present invention, as well as the use of these substances for the preparation of a composition, especially a pharmaceutical composition, repressing the expression of apo C-III and therefore  
5 intended for the treatment of lipid metabolism dysfunctions in humans or animals. Indeed, the compounds having such properties are selected on the basis of their capacity to repress the expression of apo C-III, and may be ROR ligands or ROR analogues,  
10 whose properties are demonstrated either directly from the level of expression of apo C-III or through the expression of a reporter gene, or alternatively by their capacity to form a complex with the ROR receptor.

The invention therefore relates more generally  
15 to the use of a substance capable of modulating the expression of apo C-III for the preparation of a composition, especially a pharmaceutical composition, useful for the treatment and/or prevention of lipid metabolism dysfunctions linked to apolipoprotein C-III  
20 in humans or animals. More particularly, the invention relates to the use of a substance capable of binding to the ROR receptor or to its response element for the preparation of a pharmaceutical composition useful for the treatment and/or prevention of lipid metabolism  
25 dysfunctions in humans or animals.

The subject of the present invention is also the use of the methods of screening according to the present invention to characterize, justify and claim the mechanism of action of substances capable, by  
30 binding to and by modulating the activity of ROR, of modulating the expression of apo C-III for the preparation of a composition, especially a pharmaceutical composition, useful for the treatment and/or prevention of lipid metabolism dysfunctions linked to  
35 apolipoprotein C-III in humans or animals.

Other advantages and characteristics of the invention will appear from the following examples describing the activation of the apo C-III promoter by the human ROR $\alpha$  receptor.



- 13 -

I. METHODS1. Cell culture

The HepG2 (human hepatoma) line is obtained from E.C.A.C.C. (Porton Down, Salisbury, UK) whereas the RK13 (rabbit kidney) cells were offered by C. Lagros (laboratory of Prof. Stéhelin). These lines were maintained under standard culture conditions (Dulbecco's modified Eagle's minimal essential medium), supplemented with 10% foetal calf serum, incubation at 37°C under a humid atmosphere of 5% CO<sub>2</sub>/95% air). The culture medium is changed every two days.

2. Construction of the recombinant plasmids

The activity of the promoter of the apo C-III gene was studied according to conventional techniques using reporter genes. The constructs -1415/+24hCIIWT-CAT, -1415/+24hCIIIC3P5'KO-CAT, -198/+24hCIIIWT-CAT and -198/+24hCIIIC3P5'KO-CAT which comprise fragments of the promoter of the human gene for apo C-III, which are of the wild type or mutated at the level of the half-site TGGGCA present at position 5' of the C3P site cloned upstream of the CAT reporter gene have been previously described (61). The construct RORETkCAT which comprises a copy of the hRORα consensus response element has been previously described (53). The fragment -2051/+26 of the human gene for apo A-I was excised with the aid of the enzyme KpnI from a clone isolated from a genomic DNA library in γ-Charon 4A, made blunt by treatment with the Klenow fragment of DNA polymerase, and cloned before the CAT reporter gene into the vector pBLCAT5, at the level of the XbaI site made blunt by treatment with the Klenow fragment of DNA polymerase in order to create the construct -2051/+26hAIWT-CAT. The construct hAITaTaTkCAT which comprises a copy of the site of the TaTa box of the human gene for apo A-I cloned before the thymidine kinase promoter of the herpes simplex virus was obtained according to the protocol described for the construct RORETkCAT using the oligonucleotides hAIF1 and hAIR1 (Table 1). In order to exchange the CAT

- 14 -

reporter gene of the constructs which comprise fragments of the promoter of the human gene for apo C-III cloned upstream of the CAT reporter gene with the reporter gene Luc+, the luciferase reporter gene

5 Luc+ of the reporter vector pGL3 (Promega) was excised with the enzymes SacI and BamHI and subcloned into the corresponding sites of the vector pBKCMV (stratagene) in order to form the vector pBKCMV-Luc+. The CAT reporter gene of the constructs -1415/+24hCIIIWT-CAT

10 and -1415/+24hCIIIC3P5'KO-CAT was excised with the enzymes KpnI and BamHI. Next, it was replaced with the Luc+ reporter gene obtained by digestion of the plasmid pBKCMV-Luc+ with the enzymes BglII and KpnI in order to create the plasmids -1415/+24hCIIIWT-Luc+ and

15 -1415/+24hCIIIC3P5'KO-Luc+. The point mutants of the apo C-III promoter -1415/+24hCIIIC3P3'KO-Luc+, -1415/+24hCIIIC3P5'+3'KO-Luc+, -1415/+24hCIIITaTaKO-Luc+, -1415/+24hCIIITaTa+C3P5'KO-Luc+, -1415/+24hCIII-TaTa+C3P3'KO-Luc+ were obtained with the aid of the "Quick

20 Change Site Directed Mutagenesis" kit (stratagene) according to the manufacturer's recommendations using the oligonucleotides hc3F20/hc3R20, hc3F30/hc3R30 and hc3F29/hc3R29 (Table 1), respectively. The plasmid Tk-Luc+ was constructed by inserting the Luc+ reporter gene

25 obtained by digesting the plasmid pBKCMV-Luc+ with the enzymes BglII and KpnI into the vector pBLCAT4 (29) cut with BglII and KpnI in place of the CAT reporter gene. The constructs (RevDR2)<sub>3x</sub>TkLuc+ and (RevDR2M3')<sub>3x</sub>TkLuc+ were obtained by exchanging the CAT reporter gene of the

30 corresponding constructs with the Luc+ reporter gene (BglII/EcoRI digestion). The corresponding CAT constructs were obtained by the strategy previously described (59) using the oligonucleotides 1129/1142 and 1126/1132 (Table 1). The plasmid -1415/+24hCIIIWT-Luc+

35 was digested with HindIII in order to excise the apo C-III promoter. The DNA fragment obtained was then inserted into the HindIII site of the plasmids pGL3 (Promega) and pSL301 (Pharmacia) in order to create the constructs -1415/+24hCIIIWTpGL3 and

- 15 -

-1415/+24hCIIIWTPSL301. The orientation of the insert was then defined. The construct -198/+24hCIIIWTPGL3 was obtained by digesting the construct -1415/+24hCIIIpGL3 with PstI and religation. The construct -

5 1415/+24hCIIIWTPSL301 was then partially digested with the enzyme EcoO109I and self-religated in order to create the construct -108/+24hCIIIWTPSL301. The fragment -108/+24 of the apo C-III promoter was then cloned into the XmaI and HindIII sites of the vector

10 pGL3 in order to create the construct -108/+24hCIIIWTPGL3. In order to create the construct -62/+24hCIIIWTPGL3, the construct -1415/+24hCIIIWTPSL301 was exhaustively digested with the enzyme EcoO109I, made blunt by treatment with the Klenow fragment of DNA

15 polymerase and self-religated. The fragment -62/+24 of the apo C-III promoter was then cloned into the XmaI and HindIII sites of the vector pGL3. The plasmid pTk-pGL3 was constructed by amplifying, by PCR, the fragment of the thymidine kinase promoter of the herpes

20 simplex virus present in the plasmid pBLCAT4 with the aid of the primers 514 and 510 (Table 1), by digesting the PCR fragment obtained with the enzymes BglII and HindIII and by inserting it into the corresponding sites of the vector pGL3. The constructs

25  $(-27/-58)_{3x}hCIIITkpGL3$ ,  $(-58/-27)_{8x}hCIIITkpGL3$  and  $(-47/-79)hCIIITkpGL3$  were obtained according to the strategy described above (Vu Dac et al., JCI, 96, 741-750, 1995) with the aid of the oligonucleotides hC3F15/hC3R15 and hC3F17/hC3R17, respectively. The

30 intermediate constructs in the vector pic20H were digested with the enzymes SalI and XhoI. The inserts obtained were then cloned into the XhoI site of the vector TkpGL3 and their orientation defined by sequence. The oligonucleotides hC3F18 and hC3R18 were

35 used as primers in order to create, by PCR with the aid of the Pfu polymerase (stratagene), a DNA fragment which contains several copies of the -30/-15 fragment of the apo C-III promoter. This fragment was digested with the enzymes XhoI and SpeI and inserted into the

- 16 -

vector TkpGL3 previously cut with the enzymes NheI and XhoI in order to create the construct  $(-30/-15)_n$ TkpGL3. The oligonucleotides hC3F22 and hC3R22 were used as primers to create, by PCR with the aid of the Pfu polymerase (stratagene), a DNA fragment which contains several copies of the -103/-73 fragment of the apo C-III promoter. This fragment was digested with the enzymes XhoI and SpeI and inserted into the vector TkpGL3 previously cut with the enzymes NheI and XhoI in order to create the construct  $(-76/-100)_{2x}$ TkpGL3. The plasmid pG5TkpGL3 was obtained by inserting 5 copies of the response element of the yeast transcription factor Gal4 (site 17 m) (46) upstream of the Tk promoter into the plasmid TkpGL3.

15           The plasmids pCMX-hROR $\alpha$ 1, pCMX-hROR $\alpha$ 2, pCMX-hROR $\alpha$ 3 allowing the exogenous expression of the corresponding nuclear receptors have been obtained and described before (47). The plasmid pCDNA3-hROR $\alpha$ 1 was constructed by restricting the plasmid pCMX-hROR $\alpha$ 1 with the aid of the enzymes KpnI and partially with XbaI and cloning the insert into the corresponding sites of the vector pCDNA3. To generate the plasmid pSG5-hROR $\alpha$ 1, the plasmid pCMX-hROR $\alpha$ 1 was digested with the enzyme KpnI, made blunt by treatment with the Klenow fragment of DNA polymerase and digested with BamHI. The insert obtained was cloned into the vector pSG5 digested with EcoRI, made blunt by treatment with the Klenow fragment of DNA polymerase and digested with BamHI. The plasmid pGal4- $\phi$  was constructed by subcloning the DNA binding domain of the yeast transcription factor Gal4 present in the plasmid pBD-Gal4 (stratagene) into the HindIII-EcoRI sites of the vector pCDNA3. To generate the plasmid pBDGal4-hROR $\alpha$ DEF, the plasmid pSG5-hROR $\alpha$ 1 was cut with the enzyme XhoI, made blunt by treatment with the Klenow fragment of DNA polymerase and digested with XmaI. This insert was then cloned into the vector pBDGal4 previously restricted with EcoRI, made blunt by treatment with the Klenow fragment of DNA polymerase and digested with XmaI. The plasmid pBDGal4-hROR $\alpha$ DEF

- 17 -

was then digested with the enzymes HindIII and EcoRI. The insert obtained was cloned into the corresponding sites of the vector pCDNA3 in order to create the plasmid pGal4-hROR $\alpha$ DEF.

5 All the constructs were checked by sequencing.

3. Transient transfection and measurement of the promoter activity of human apo C-III

The activity of the nuclear receptors was measured by conventional reporter gene/cotransfection techniques. The DNA was introduced into the cells studied using common technologies available in the laboratory (calcium phosphate, electroporation, lipofection and the like). The vectors pSG5, pCDNA3 and pCMX were used as negative controls. In the experiments carried out with the aid of the calcium phosphate precipitation technique, the cells plated on 60-mm culture plates were transfected at 50-60% confluence with a mixture of plasmids which comprised, in addition to the reporter plasmids CAT, Luc+ or pGL3 (0.5  $\mu$ g/60-mm plate) and the expression vectors pSG5-hROR $\alpha$ 1, pCMX-hROR $\alpha$ 1, pCMX-hROR $\alpha$ 2 and pCMX-hROR $\alpha$ 3 (0.1-1  $\mu$ g/60-mm plate), 0.1  $\mu$ g/60-mm plate of plasmid pCMV- $\beta$ -gal (Clontech) used as control for transfection efficiency (30). After 5 to 6 hours, the cells were washed twice with the aid of a wash buffer (0.15 M NaCl, 0.01 M sodium phosphate, pH 7.2) and incubated for 36 hours in fresh culture medium containing 10% foetal calf serum. After the transfection, the cells were lysed and the luciferase and  $\beta$ -galactosidase activities were measured according to conventional protocols (31). For the experiments carried out by lipofection, the cells were plated on 24-well plates in an amount of 10,000 cells per well and incubated for 16 hours at 37°C before transfection. The cells were then transfected for two hours at 37°C in a serum-free culture medium with the aid of a cationic lipid. The plasmids (reporter vectors: 50 ng/well; expression vectors: 100 ng/well, vectors for control of transfection efficiency: pSV- $\beta$ gal

- 18 -

(Promega) (50 ng/well) and carrier DNA (pBluescript (stratagene) added to take the quantity of transfected DNA to 500 ng/well) were dissolved in serum-free DMEM supplemented with NaCl (150 mM), sodium bicarbonate (50 mM) and cationic lipid (6 nmol/ $\mu$ g DNA), vortexed, incubated for 30 minutes at room temperature and added to the cells. After incubating for two hours, the cells were rinsed with the aid of the wash buffer described above and incubated for 36 hours in fresh culture medium containing 10% foetal calf serum. At the end of the experiment, the cells were rinsed with the aid of the wash buffer and the luciferase activity measured with the aid of the "Dual-Luciferase<sup>TM</sup> Reporter Assay System" kit from Promega according to the manufacturer's instructions. The protein content of the extracts obtained was assayed by the Bradford technique with the aid of the "Bio-Rad Protein Assay" kit (Bio-Rad).

#### 4. Gel retardation

The hRoR $\alpha$ 1 protein was synthesized in vitro starting with the plasmid pCMX-hRoR $\alpha$ 1 by the reticulocyte lysate technique with the aid of the "TnT T7 quick coupled transcription/translation system" kit from Promega. The gel retardation experiments were carried out according to the protocol described before (48 and 49) using double-stranded oligonucleotides phosphorylated at the ends using polynucleotide kinase in the presence of [ $\gamma$ -<sup>32</sup>P]ATP. 500 picomol of oligonucleotides 82 and 512 were labelled with the aid of polynucleotide kinase and [ $\gamma$ -<sup>32</sup>P]ATP, purified on a silica matrix (Quiagen) according to the manufacturer's protocol and used as primers to amplify the -198/+24 fragment of the apo C-III promoter using the plasmid -198/+24hCIIIWT-Luc+ as template. The PCR fragment obtained was then purified on a silica matrix (Quiagen) according to the manufacturer's instructions and used as probe.

- 19 -

The identity of the oligonucleotides used to synthesize the double-stranded DNAs used as probes is described in Table 2.

The double-stranded oligonucleotides were  
5 obtained by incubating 2.5 or 5 µg of sense and anti-sense oligonucleotides diluted in hybridization buffer (50 mM Tris-HCl pH 8, 50 mM KCl, 5 mM MgCl<sub>2</sub>, 10 mM DTT) at 100°C for 10 min and then at 65°C for 10 min and slowly cooling the mixture to room temperature. They  
10 were phosphorylated at the 5' ends using polynucleotide kinase in the presence of [γ-<sup>32</sup>P]ATP as described before (48 and 49).

The binding buffer had the following composition: 10 mM Hepes, 50 mM KCl, 1% glycerol, 2.5 mM  
15 MgCl<sub>2</sub>, 1.25 mM DTT, 0.1 µg/µl polydIdC, 50 ng/µl herring sperm DNA, 1 µg/µl bovine serum albumin, 10% reticulocyte lysate.

During the competition experiments, increasing concentrations of nonlabelled double-stranded oligo-  
20 nucleotides (molar excess of 10 to 100 fold) were added to the mixtures and incubated for 15 min at room temperature before the addition of the radioactive probes. After addition of the radioactive probes, the reticulocyte lysates were added to the mixture and  
25 incubated for 15 min at room temperature before the separation of the protein/DNA complexes by electrophoresis on a polyacrylamide gel (4%) in a 0.25X Tris-borate-EDTA buffer at room temperature (50).

### 5. Mice

30 The staggerer homozygotes mutant mice (sg/sg) develop, compared with the wild type C57BL/6 SG/+SG, cerebral ataxia and neurodegeneration (23, 24) as well as immunity abnormalities, such as hyperproduction of inflammatory cytokines (26, 25). The sg/sg mice carry a  
35 deletion in the RORα gene. This deletion prevents the translation of the putative ligand binding domain, thereby disrupting the functioning of this transcription factor (27). The staggerer mutation being maintained in the C57BL/6 genome which allows analysis

- 20 -

of the development of atherosclerotic lesions after  
subjecting to an atherogenic region, the plasma  
lipoprotein and apolipoprotein profiles, the extent of  
fat plaques in the aorta and the incidence of  
5 atherosclerosis in the coronary arteries were  
determined by subjecting sg/sq mice to an atherogenic  
regime rich in fat and by comparing them with  
+/+ C57BL/6 mice. The results showed that the sg/sq  
mice develop severe atherosclerosis, which suggests the  
10 important role of ROR $\alpha$  in cardiovascular diseases.

The male and female C57BL/6 mice (6 to 8 weeks  
old) were obtained from CERJ (France), the staggerer  
mutant mice (sg/sq) were obtained by crossing known  
heterozygotes (+/sg) and identifying the homozygous  
15 progeny by their ataxia. The sg mutation was developed  
on a C57BL/6 genetic background.

#### 6. Analysis of the RNAs

The mice are sacrificed with an ether overdose.  
The RNA extractions, the "northern" and "dot blot"  
20 hybridizations, the measurements of the levels of  
messenger RNA for apo C-III are carried out as  
described before (32). The 36B4 cDNA clone (33)  
encoding human acidic ribosomal phosphoprotein PO (34)  
is used as control. The cDNA probes are labelled using  
25 random hexamers as primer (Boehringer Mannheim). The  
filters are hybridized with  $1.5 \times 10^6$  cpm/ml of each  
probe as described (35). They are washed once in  
0.5 $\times$ SSC and 0.1% SDS for 10 minutes at room temperature  
and twice for 30 minutes at 65°C and then subsequently  
30 exposed to an X-ray film (X-OMAT-AR, Kodak). The  
autoradiograms are analysed by quantitative scanning  
densitometry (Biorad GS670 densitometer) and the  
results are normalized relative to the 36B4 messenger  
RNA levels (35).

#### 35 II. FIGURES

Figure 1: Stimulation of the activity of the  
promoter of the human apo C-III gene with hROR $\alpha$ 1 in  
HepG2 cells.



- 21 -

Figure 2: Activation of the apo C-III promoter with hROR $\alpha$ 1: comparison of three expression vectors and of two transfection methods.

5 Figure 3: Comparison of the stimulation of the activity of the apo C-III promoter cloned into two different reporter vectors.

Figure 4: Stimulation of the activity of the promoter of the human apo C-III gene cloned into the vector pBLCAT5 with hROR $\alpha$ 1 in RK13 cells.

10 Figure 5: Stimulation of the activity of the construct -1415/+24hCIIIWT-Luc+ with increasing quantities of plasmid pCDNA3-hROR $\alpha$ 1 cotransfected into RK13 cells.

15 Figure 6: Stimulation of the activity of fragments of decreasing size of the promoter of the human apo C-III gene cloned into the vector pGL3 with hROR $\alpha$ 1 in RK13 cells.

20 Figure 7: Evaluation of the binding of hROR $\alpha$ 1 to the proximal promoter of the human gene for apo C-III by gel retardation.

Figure 8: Evaluation of the binding of hROR $\alpha$ 1 to the -34/-10 fragment of the promoter of the human gene for apo C-III by gel retardation.

25 Figure 9: Evaluation of the binding of hROR $\alpha$ 1 to the -34/-10 and -62/-100 fragments of the promoter of the human gene for apo C-III by gel retardation.

Figure 10: Evaluation of the binding of hROR $\alpha$ 1 to the -90/-64 fragment of the promoter of the human gene for apo C-III by gel retardation.

30 Figure 11: Stimulation of the activity of point mutants of the promoter of the human apo C-III gene with hROR $\alpha$ 1 in RK13 cells.

35 Figure 12: Stimulation of the activity of fragments of the promoter of the human apo C-III gene cloned before the thymidine kinase promoter of the herpes simplex virus with hROR $\alpha$ 1 in RK13 cells.

Figure 13: Novelty of the activation with hROR $\alpha$ 1 of the promoter of human apo C-III.

- 22 -

Figure 14: Stimulation of the activity of the promoter of the human apo C-III gene with the  $\alpha 1$ ,  $\alpha 2$  and  $\alpha 3$  isoforms of hROR $\alpha$  in RK13 cells.

Figure 15: Hepatic expression of the apo C-III gene in sg/sq mutant or SG/SG wild-type mice.

Figure 16: Validation of a reporter vector appropriate for the screenings of substances capable of modulating the activity of hROR $\alpha$ .

Figure 17: Validation of a screening test for substances capable of modulating the activity of hROR $\alpha$  based on the use of a chimera which combines the DNA binding domain of the yeast transcription factor Gal4 and the ligand binding domains DEF of hROR $\alpha$ .

### III. RESULTS

#### 1. hROR $\alpha$ activates the human apo C-III promoter in HepG2 cells

Figure 1 illustrates the sensitivity of the promoter of the human gene for apo C-III to the exogenous expression of the nuclear receptor hROR $\alpha 1$  induced in HepG2 cells.

In this figure, the HepG2 cells were plated on 60-mm culture plates and transfected at 50-60% confluence by the calcium phosphate technique with 500 ng/plate of reporter vector -1415/+24hCIIIWT-Luc+, 1  $\mu$ g/plate of expression vector pCMX (negative control) or pCMX-hROR $\alpha 1$  as indicated and 100 ng/plate of the plasmid pCMV- $\beta$ gal used as control for transfection efficiency. After incubating for 36 hours, the cells were rinsed, lysed and the luciferase and  $\beta$ -galactosidase activity of the cellular extracts measured according to conventional protocols (31).

These cells were cotransfected with a reporter plasmid containing the part of the promoter of the apo C-III gene between positions -1415 and +24 cloned upstream of the luciferase reporter gene (-1415/+24hCIIIWT-Luc+) and the expression vector pCMX-hROR $\alpha 1$ . This observation suggests the presence of an hROR $\alpha 1$  nuclear receptor response element in the -1415/+24 portion of the promoter of human apo C-III.

- 23 -

2. hROR activates the human apo C-III promoter in RK13 cells

In order to determine if the activation of the human apo C-III promoter with hROR $\alpha$ 1 depends on the cellular context and in order to identify a more stable experimental model than HepG2 cells, the experiment was repeated on RK13 cells. Similar results are obtained (Figure 2).

In experiment 1, the RK13 cells were plated on 60-mm culture plates and transfected at 50-60% confluence by the calcium phosphate technique with 500 ng/plate of reporter vector -1415/+24hCIIIWT-Luc+, 1  $\mu$ g/plate of expression vector pCMX or pSG5 (negative controls) or pCMX-hROR $\alpha$ 1 or pSG5-hROR $\alpha$ 1 as indicated and 100 ng/plate of the plasmid pCMV- $\beta$ gal used as control for transfection efficiency. After incubating for 36 hours, the cells were rinsed, lysed and the luciferase and  $\beta$ -galactosidase activity of the cellular extracts measured according to conventional protocols (31). In experiment 2, 10,000 RK13 cells were plated per well of a 24-well culture plate and transfected with the aid of a cationic lipid with 50 ng/well of reporter vector -1414/+24hCIIIWT-Luc+, 100 ng/well of expression vector pCMX or pCDNA3 or pCMX-hROR $\alpha$ 1 or pCDNA3-hROR $\alpha$ 1 as indicated and 50 ng of vector pSV- $\beta$ gal. The total quantity of transfected DNA was brought to 500 ng/well with the aid of the plasmid pBluescript used as carrier. After incubating 36 hours, the cells were rinsed, lysed and the luciferase activity of the cellular extracts assayed with the aid of the "Dual-Luciferase<sup>TM</sup> Reporter Assay System" kit from Promega. The  $\beta$ -galactosidase activity of the cellular extracts was measured according to the conventional protocol (31).

This model, whose phenotype is more constant than that of the HepG2 cells will therefore be subsequently used for the characterization of the effect of hROR and of its isoforms.

- 24 -

3. The effect of hROR $\alpha$ 1 is independent of the mode of transfection, the expression vector and the reporter gene used

The activation of the construct -1415/+24hCIIIWT-Luc+ with pCMX-hROR $\alpha$ 1 is observed regardless of the transfection protocol used, precipitation of DNA with calcium phosphate or lipofection (Figure 2). Since the transfection efficiency by the second method is higher, since the quantities of DNA used may be substantially reduced and since the transfection may be carried out in the presence of an excess of inert carrier DNA, the latter method is preferred. The activation of the construct -1415/+24hCIIIWT-Luc+ with hROR $\alpha$ 1 is observed with the vectors pCMX-hROR $\alpha$ 1, pSG5-hROR $\alpha$ 1 and pCDNA3-hROR $\alpha$ 1 (Figure 2). Since the exogenous expression of hROR $\alpha$ 1 induced by the vector pCDNA3-hROR $\alpha$ 1 appears to be more efficient (data not illustrated) and since the empty vector pCDNA3 interferes little with the basic activity of the construct -1415/+24hCIIIWT-Luc+, this vector is preferably used. The activation of the portion between positions -1415 and +24 of the apo C-III promoter is observed when it is cloned before the Luc+ reporter gene into the vector Luc+ or into the vector pGL3 (Promega) (Figure 3) as well as before the CAT reporter gene into the vector pBLCAT5 (Figure 4).

In Figure 3, 10,000 RK13 cells were plated per well of a 24-well culture plate and transfected with the aid of a cationic lipid with 50 ng/well of reporter vector -1415/+24hCIIIWT-Luc+ (noted -1415/+24WTLuc+) or -1415/+24hCIIIWTpGL3 (noted -1415/+24hWTpGL3) as indicated, 100 ng/well of expression vector pCDNA3 or pCDNA-hROR $\alpha$ 1 as indicated and 50 ng of vector pSV- $\beta$ gal. The total quantity of transfected DNA was brought to 500 ng/well with the aid of the plasmid pBluescript used as carrier. After incubating for 36 hours, the cells were rinsed, lysed and the luciferase activity of the cellular extracts assayed with the aid of the "Dual-Luciferase<sup>TM</sup> Reporter Assay System" kit from

- 25 -

Promega. The  $\beta$ -galactosidase activity of the cellular extracts was measured according to the conventional protocol (31).

In figure 4, the RK13 cells were plated on 5 60-mm culture plates and transfected at 50-60% confluence by the calcium phosphate technique with 500 ng/plate of reporter vector -1415/+24hCIIIWT-CAT (noted -1415/+24WTCAT), pBLCAT5 or pBLCAT4 (30), as indicated, 1  $\mu$ g/plate of expression vector pSG5 10 (negative control) or pSG5-hROR $\alpha$ 1 as indicated and 100 ng/plate of plasmid pCMV- $\beta$ gal used as control for transfection efficiency. After incubating for 36 hours, the cells were rinsed, lysed and the CAT and  $\beta$ -galactosidase activity of the cellular extracts 15 measured according to conventional protocols (31).

In conclusion, the activation with hROR $\alpha$ 1 of the portion between positions -1415 and +24 of the apo C-III promoter is observable in all the experimental systems tested: the effect is robust.

20 4. The effect of hROR $\alpha$ 1 depends on the quantity of expression vector transfected

Figure 5 illustrates the dependence of the effect of hROR $\alpha$ 1 on the activity of the construct -1415/+24hCIIIWT-Luc+ in relation to the quantity of 25 expression vector transfected.

In Figure 5, 10,000 RK13 cells were plated per well of a 24-well culture plate and transfected with the aid of a cationic lipid with 50 ng/well of reporter vector -1415/+24hCIIIWT-Luc+ (noted -1415/+24WTLuc+), 30 from 0 to 100 ng/well of expression vector pCDNA3-hROR $\alpha$ 1 (supplemented with the plasmid pCDNA3 in order to maintain the number of transcriptional units constant) as indicated and 50 ng of vector pSV- $\beta$ gal. The total quantity of transfected DNA was brought to 35 500 ng/well with the aid of the plasmid pBluescript used as carrier. After incubating 36 hours, the cells were rinsed, lysed and the luciferase activity of the cellular extracts assayed with the aid of the "Dual-Luciferase<sup>TM</sup> Reporter Assay System" kit from Promega.

- 26 -

The  $\beta$ -galactosidase activity of the cellular extracts was measured according to the conventional protocol (31).

5. The effect of hROR $\alpha$ 1 is specific

5 In Figure 6, 10,000 RK13 cells were plated per well of a 24-well culture plate and transfected with the aid of a cationic lipid with 50 ng/well of reporter vectors -1415/+24hCIIIWTPGL3 (noted -1415/+24WTPGL3),  
-198/+24hCIIIWTPGL3 (noted -198/+24WTPGL3),  
10 -108/+24hCIIIWTPGL3 (noted -108/+24WTPGL3),  
-62/+24hCIIIWTPGL3 (noted -62/+24WTPGL3), pGL3 and TkpGL3 (negative controls) as indicated, 100 ng/well of expression vector pCDNA3 or pCDNA3-hROR $\alpha$ 1 as indicated and 50 ng of vector pSV- $\beta$ gal. The total quantity of  
15 transfected DNA was brought to 500 ng/well with the aid of the plasmid pBluescript used as carrier. After incubating for 36 hours, the cells were rinsed, lysed and the luciferase activity of the cellular extracts assayed with the aid of the "Dual-Luciferase<sup>TM</sup> Reporter  
20 Assay System" kit from Promega. The  $\beta$ -galactosidase activity of the cellular extracts was measured according to the conventional protocol (31).

Figures 4 and 6 indicate that the activity of the reporter gene of the promoter-free vectors  
25 (pBLCAT5, pGL3), into which the fragment between positions -1415 and +24 of the apo C-III promoter is cloned is not increased by the exogenous expression of hROR $\alpha$ 1. Furthermore, the activity of a heterologous promoter, the promoter of the thymidine kinase gene of  
30 the herpes simplex virus, is also insensitive to the action of hROR $\alpha$ 1. The effect of this nuclear receptor on the promoter of the human gene for apo C-III is therefore specific.

- 27 -

6. Identification of the molecular mechanism of action of hROR $\alpha$ 1

a. Analysis of the deletion mutants of the promoter

5           Figure 6 shows a gradual decrease in the hROR $\alpha$ 1 activity when the fragment of the apo C-III promoter cloned upstream of a reporter gene is truncated up to position -108 (construct -108/+24hCIIIWTPGL3). The response to hROR $\alpha$ 1 disappears starting from the  
10 deletion -62/+24hCIIIWTPGL3. This suggests the presence of sequence elements essential for the activity of hROR $\alpha$ 1 between positions -62 and -108. The difference in sensitivity to hROR $\alpha$ 1 observed between the constructs -1415/+24hCIIWTPGL3 and -198/+24hCIIIWTPGL3  
15 (Figure 6) suggests the presence, in the region between positions -1415 and -198, of hROR $\alpha$ 1 response elements or of a site of attachment of nuclear factors which act in synergy with hROR $\alpha$ 1. The role of such sites in the control of the activity of the apo C-III promoter, for example, by the nuclear factor HNF4 is known in the  
20 state of the art (60).

b. Analysis of the promoter by gel retardation

In order to validate *in vitro* the binding of hROR $\alpha$ 1 to the -198/+24 fragment of the apo C-III  
25 promoter, it was amplified by PCR with the aid of primers radioactively labelled with [ $\gamma$ -<sup>32</sup>P]ATP and purified. Moreover, the hROR $\alpha$ 1 protein was synthesized *in vitro* from the plasmid pCMX-hROR $\alpha$ 1 with the aid of rabbit reticulocyte lysate. The labelled DNA was  
30 incubated in the presence of reticulocyte lysate containing the hROR $\alpha$ 1 protein or lysate not programmed to express the protein. The DNA/protein complexes thus obtained were then resolved on polyacrylamide gel ("gel retardation" method). A complex specific for hROR $\alpha$ 1 on  
35 the -198/+24 fragment was identified and is marked with an arrow in Figure 7.

In Figure 7, the -198/+24 fragment of the promoter of the human gene for apo C-III was amplified by PCR with the aid of the primers 82 and 512 (Table 1)

- 28 -

previously phosphorylated at the 5' end by polynucleotide kinase in the presence of  $[\gamma\text{-}^{32}\text{P}]\text{ATP}$ . This probe was incubated in the presence of reticulocyte lysate (TNT-T7, Promega) programmed to express the hROR $\alpha$ 1 receptor according to the protocol defined by the manufacturer or in the presence of control lysate. The DNA/protein complexes were then separated on a non denaturing polyacrylamide gel. After drying, the gel is subjected to autoradiography. The first lane of the gel corresponds to the migration of the probe alone. The second lane corresponds to the migration of the probe incubated in the presence of the control lysate. Other lanes correspond to the migration of the probe incubated in the presence of lysate programmed to express hROR $\alpha$ 1. A molar excess (10, 50, 100 X) of the nonlabelled double-stranded oligonucleotides indicated was preincubated with the programmed lysate for 15 minutes before the addition of the probe.

The formation of this complex is reduced by the addition of nonlabelled double-stranded oligonucleotide (competitors) added in excess whose sequences correspond to the consensus response element of hROR $\alpha$ 1 (RORECons) and to the half-site AGGTCA present downstream of the TaTa box of the human apo C-III gene (hCIII-TaTaWT) (strong). On the other hand, the corresponding nonlabelled double-stranded oligonucleotide whose sequence is mutated (AGGTCA $\rightarrow$ AGGCAG) (hCIIITaTaKO) does not reduce the formation of this complex. A specific gel retardation is also observed when the labelled oligonucleotide used as probe corresponds to the half-site AGGTCA present at the level of the site of the TaTa box of the human apo C-III gene (hCIII-TaTaWT) (Figure 8).

In this figure, the -34/-10 fragment (probe hCIIITaTaWT) of the promoter of the human gene for apo C-III was phosphorylated at the 5' ends by polynucleotide kinase in the presence of  $[\gamma\text{-}^{32}\text{P}]\text{ATP}$ . This probe was incubated in the presence of reticulocyte lysate (TNT-T7, Promega) programmed to express the



- 29 -

hROR $\alpha$ 1 receptor according to the protocol defined by the manufacturer or in the presence of control lysate. The DNA/protein complexes were then separated on non denaturing polyacrylamide gel. After drying, the gel is  
5 subjected to autoradiography. The first lane of the gel corresponds to the migration of the probe incubated in the presence of the control lysate. The other lanes correspond to the migration of the probe incubated in the presence of lysate programmed to express hROR $\alpha$ 1. A  
10 molar excess (10, 50, 100 X) of the nonlabelled double-stranded oligonucleotides indicated was preincubated with the programmed lysate for 15 minutes before the addition of the probe.

The intensity of the retarded complex is  
15 reduced by competition with the homologous nonlabelled double-stranded oligonucleotide, by nonlabelled double-stranded oligonucleotides whose sequences correspond to the site of attachment of hROR $\alpha$ 1 on the promoter of the rat apo AI gene (rAITaTaWT) (site to which hROR $\alpha$ 1 is  
20 known to bind at high affinity (Vu-Dac et al., 1997, J. Biol. Chem., 272, 22401-22404)) or of the hROR $\alpha$ 1 consensus response element (RORECons). The nonlabelled double-stranded oligonucleotide whose sequence  
corresponds to the mutated AGGTCA half-site hCIIITaTaKO  
25 (AGGCAG) (Figure 8) situated downstream of the TaTa box of the apo C-III gene is inactive. A specific but weak gel retardation is also observed on the DNA fragment between positions -62 and -109 required to observe activation of the expression of the reporter gene by  
30 hROR $\alpha$ 1 in transient transfection experiments (Figure 9).

In this figure, fragments -34/-10 (probe hCIIITaTaWT) of the promoter of the human gene for apo C-III was phosphorylated at the 5' ends by  
35 polynucleotide kinase in the presence of [ $\gamma$ -<sup>32</sup>P]ATP. These probes were incubated in the presence of reticulocyte lysate (TNT-T7, Promega) programmed to express the hROR $\alpha$ 1 receptor according to the protocol defined by the manufacturer or in the presence of

- 30 -

control lysate. The DNA/protein complexes were then separated on a nondenaturing polyacrylamide gel. After drying, the gel is subjected to autoradiography.

More precisely, this retardation appears to be attributable to the site between positions -82 and -70 (hCIII-C3PDR1) (Figure 10).

In this figure, fragment -90/-64 of the promoter of the human gene for apo C-III was phosphorylated at the 5' ends with polynucleotide kinase in the presence of [ $\gamma$ -<sup>32</sup>P]ATP. This probe was incubated in the presence of reticulocyte lysate ("TNT-T7", Promega) programmed to express the hROR $\alpha$ 1 receptor according to the protocol defined by the manufacturer or in the presence of control lysate. The DNA/protein complexes were then separated on nondenaturing polyacrylamide gel. After drying, the gel is subjected to autoradiography. The first lane of the gel corresponds to the migration of the probe incubated in the presence of control lysate. The other lanes correspond to the migration of the probe incubated in the presence of lysate programmed to express hROR $\alpha$ 1. A molar excess (10, 50, 100 X) of the indicated nonlabelled double-stranded oligonucleotides was pre-incubated with the programmed lysate for 15 minutes before addition of the probe.

This retardation is specific: competition appears with the oligonucleotide whose sequences correspond to the hROR $\alpha$ 1 consensus response element (RORECons) or to the half-site of the TaTa box of the human apo C-III gene (hCIIITaTaWT) (Figure 10). Competition with the homologous nonlabelled oligonucleotide is also observed (Figure 10).

In conclusion, the gel retardation experiments confirm the interaction of hROR $\alpha$ 1 with the portion between positions -198 and +24 of the apo C-III promoter and suggest the existence of two binding sites: the half-site AGGTCA situated downstream of the TaTa box (-23/-18) and the half-site AGGTCA present in 5' of the C3P site (-77/-82).

- 31 -

c. Analysis of the point mutants of the promoter of the human apo C-III gene

In order to validate the results obtained with the deletion mutants and with the gel retardation technique, the construct -1415/+24hCIIIWTLuc+ was mutated by site-directed mutagenesis at the level of the half-site AGGTCA present downstream of the TaTa box of the gene for apo C-III (-23/-18) and/or at the level of the two half-sites AGGTCA of the C3P site (-70/-82).

In Figure 11, 10,000 RK13 cells were plated per well of a 24-well culture plate and transfected with the aid of a cationic lipid with 50 ng/well of reporter vectors -1415/+24hCIIIWT-Luc+ (noted WT), -1415/+24hCIIIC3P5'KO-Luc+ (noted C3P5'KO), -1415/+24hCIIIC3P3'KO-Luc+ (noted C3P3'KO), -1415/+24hCIIIC3P5'+3'KO-Luc+ (noted C3P5'+3'KO), -1415/+24hCIIITaTaKO-Luc+ (noted TaTaKO), -1415/+24hCIIITaTa+C3P5'KO-Luc+ (noted TaTa+C3P5'KO) and -1415/+24hCIIITaTa+C3P3'KO-Luc+ (noted TaTa+C3P3'KO) as indicated, 100 ng/well of expression vector pCDNA3 or pCDNA3-hROR $\alpha$ 1 as indicated and 50 ng of vector pSV- $\beta$ gal. The total quantity of transfected DNA was brought to 500 ng/well with the aid of the plasmid pBluescript used as carrier. After incubating 36 hours, the cells were rinsed, lysed and the luciferase activity of the cellular extracts assayed with the aid of the "Dual-Luciferase<sup>TM</sup> Reporter Assay System" kit from Promega. The  $\beta$ -galactosidase activity of the cellular extracts was measured according to the conventional protocol (31).

Figure 11 indicates that the mutation of the half-site AGGTCA present at position 3' of the C3P site (-77/-82) (construct -1415/+24hCIIIC3P3'KOLuc+) significantly reduces the sensitivity to hROR $\alpha$ 1 of the promoter of the human apo C-III gene. In addition, whereas the single mutation of the half-site AGGTCA present downstream of the TaTa box (construct -1415/+24hCIIITaTaKOLuc+) does not affect the sensitivity of the promoter to the action of hROR $\alpha$ 1, the

- 32 -

combination of the same mutation with the mutation of the half-site AGGTCA present at position 3' of the C3P site (construct -1415/+24hCIIITaTa+C3P3'KOLuc+) appears to accentuate the loss of sensitivity of the promoter with respect to hROR $\alpha$ 1.

d. Analysis of the response elements isolated from the apo C-III promoter cloned upstream of the TK promoter

In Figure 12, 10,000 RK13 cells were plated per well of a 24-well culture plate and transfected with the aid of a cationic lipid with 50 ng/well of reporter vectors (-30/-15)<sub>n</sub>TkpGL3, (-76/-100)<sub>2x</sub>TkpGL3, (-27/-59)<sub>5x</sub>TkpGL3, (-59/-27)<sub>8x</sub>TkpGL3, (-47/-79)TkpGL3 and TkpGL3 (negative control) as indicated, 100 ng/well of expression vector pCDNA3 or pCDNA3-hROR $\alpha$ 1 as indicated and 50 ng of vector pSV- $\beta$ gal. The total quantity of transfected DNA was brought to 500 ng/well with the aid of the plasmid pBluescript used as carrier. After incubating 36 hours, the cells were rinsed, lysed and the luciferase activity of the cellular extracts assayed with the aid of the "Dual-Luciferase<sup>TM</sup> Reporter Assay System" kit from Promega. The  $\beta$ -galactosidase activity of the cellular extracts was measured according to the conventional protocol (31).

The Figure 12 shows that the half-site AGGTCA present downstream of the TaTa box of the apo C-III gene cloned upstream of the Tk promoter (construct (-30/-15)hCIIITkpGL3) is activable by hROR $\alpha$ 1. Outside the context of the human apo C-III promoter, this site which is identified by gel retardation is functional. The construct which comprises two copies of the fragment -76/-100 (half-site AGGTCA 3' of the C3P site included) (construct (-76/-100)<sub>2x</sub>hCIIITkpGL3) cloned before the Tk promoter is also activated by hROR $\alpha$ 1. The constructs which comprise other fragments of the proximal promoter of human apo C-III between the TaTa box and the C3P site cloned before the Tk promoter are insensitive to hROR $\alpha$ 1.

e. Conclusions

- 33 -

At least one site which is essential for the action of hROR $\alpha$ 1 on the promoter of the human apo C-III gene has been clearly identified: the half-site AGGTCA situated at position 3' of the C3P site (-77/-82). The role of the half-site present downstream of the TaTa box is difficult to evaluate in the light of the results presented. The presence of other hROR $\alpha$ 1 response elements or of sites to which other nuclear factors capable of interacting with hROR $\alpha$ 1 bind is suggested by the loss of sensitivity to hROR $\alpha$ 1 which is observed when the fragment -1415/-198 is removed from the apo C-III promoter.

#### 7. Novelty of the action of hROR $\alpha$ 1

In Figure 13, the RK13 cells were plated on 60-mm culture plates and transfected at 50-60% confluence by the calcium phosphate technique with 500 ng/plate of reporter vector -1415/+24hCIIIWT-CAT (noted -1415/+24WTCAT), -198/+24hCIIIWT-CAT (noted -198/+24WTCAT), -2051/+26hAIWT-CAT (noted -2051/+26hAICAT) (human apo AI promoter), hAITaTakCAT (TaTa box of the human apo AI gene cloned before the Tk promoter), RORETkCAT (consensus ROR response element (monomeric) cloned upstream of the Tk promoter) or pBLCAT4 as indicated, 1  $\mu$ g/plate of expression vector pSG5 (negative control) or pSG5-hROR $\alpha$ 1 as indicated and 100 ng/plate of plasmid pCMV- $\beta$ gal used as control for transfection efficiency. After incubating for 36 hours, the cells were rinsed, lysed and the CAT and  $\beta$ -galactosidase activity of the cellular extracts measured according to conventional protocols (31).

Figure 13 indicates that the effect of hROR $\alpha$ 1 is specific for the human gene for apo C-III: the human apo A-I promoter is not significantly affected contrary to what is described in rats (53). The sequence of the portion of the human apo AI promoter which flanks the TaTa box is different compared with the equivalent portion of the rat promoter. Figure 13 shows that this portion of the human promoter of apo A-I is insensitive to hROR $\alpha$ 1. The modulation of the expression or of the

- 34 -

activity of hROR $\alpha$ 1 is therefore capable of differentially affecting the expression of the human genes encoding apo C-III or apo A-I respectively. The substances capable of modulating the activity of hROR $\alpha$ 1 will consequently have an action at the level of the triglycerides which is dissociated from their action on the plasma HDL-cholesterol level. Such substances will therefore have a novel pharmacological profile.

#### 8. Effects of the isoforms of hROR

Figure 14 shows, surprisingly, that the isoforms hROR $\alpha$ 1, hROR $\alpha$ 2 and hROR $\alpha$ 3 all activate the construct -1415/+24hCIIIWTLuc+. This observation is in contrast with the absence of hROR $\alpha$ 2 on the rat apo A-I promoter (53).

In this figure, the RK13 cells were plated on 60-mm culture plates and transfected at 50-60% confluence by the calcium phosphate technique with 500 ng/plate of reporter vector -1415/+24hCIIIWTLuc+, 1  $\mu$ g/plate of expression vector pCMX (negative control), pCMX-hROR $\alpha$ 1, pCMX-hROR $\alpha$ 2 or pCMX-hROR $\alpha$ 3 as indicated, and 100 ng/plate of plasmid pCMV- $\beta$ gal used as control for transfection efficiency. After incubating for 36 hours, the cells were rinsed, lysed and the luciferase and  $\beta$ -galactosidase activity of the cellular extracts measured according to conventional protocols (31).

#### 9. Disruption of the ROR $\alpha$ gene in the sg/sq staggerer mice is associated with a reduced expression of apo C-III in the liver of these animals

In Figure 15, the hepatic expression of the apo C-III gene in the sg/sq mutant mice (carrying a truncated and nonfunctional ROR $\alpha$  gene) is compared with the corresponding expression in the SG/SG wild-type mice by Northern blotting according to the protocol described before (32). The messenger RNA encoding murine apo C-III is visualized with the aid of a cDNA probe encoding rat apo C-III labelled using random hexamers as primer (Boehringer Mannheim). The 36B4 cDNA clone encoding the human acidic ribosomal phospho-

- 35 -

protein PO (34) whose expression is constant is used as quantification control.

Figure 15 shows that the expression of the mouse apo C-III gene is considerably reduced in the liver of sg/s<sub>g</sub> mutant mice deficient in the ROR $\alpha$  gene compared with SG/SG mice. The expression of the SB34 control gene is not affected by the mutation. This result confirms the physiological relevance of the observations described above and suggests that the ROR $\alpha$  gene is also important for the expression of apo C-III in the liver of rodents.

#### 10. Relevance of the proposed screening methods

The activation (Figures 1 to 6, 11, 13 and 14) of the expression of the reporter gene cloned downstream of the promoter of the human gene for apo C-III when the exogenous expression of hROR $\alpha$ 1 is artificially increased based on the relevance of the use of this method to identify substances capable of modulating the activity of hROR $\alpha$ 1.

Figure 12 establishes the appropriateness of using the isolated sites cloned upstream of the Tk promoter before a reporter gene in order to identify substances capable of modulating the activity of hROR $\alpha$ 1. A construct comprising three copies of the following site: 5'-GGAAAAGTGTGCTACTGGGGCACG-3' cloned before the Tk promoter has been characterized (Figure 16).

In this figure, 10,000 RK13 cells were plated per well of a 24-well culture plate and transfected with the aid of a cationic lipid with 50 ng/well of reporter vectors (RevDR2)<sub>3</sub>xTkLuc+, (RevDR2m3')TkLuc+ (half-site 3' of the mutated DR2) or TkLuc+ (negative control) as indicated, 100 ng/well of expression vector pCDNA3 or pCDNA3-hROR $\alpha$ 1 as indicated and 50 ng of vector pSV- $\beta$ gal. The total quantity of transfected DNA was brought to 500 ng/well with the aid of the plasmid pBluescript used as carrier. After incubating for 36 hours, the cells were rinsed, lysed and the luciferase activity of the cellular extracts assayed

- 36 -

with the aid of the "Dual-Luciferase™ Reporter Assay System" kit from Promega. The  $\beta$ -galactosidase activity of the cellular extracts was measured according to the conventional protocol (31).

5           Its sensitivity to hROR $\alpha$ 1 is increased. This justifies its importance for screening substances capable of modulating the activity of the native hROR $\alpha$ 1 nuclear receptor.

10           Finally, Figure 17 establishes the appropriateness of using chimeras which combine the DNA binding domain of the yeast transcription factor Gal4 and the ligand binding domain of hROR $\alpha$ 1 and of a reporter vector which comprises 5 copies of a Gal4 response element in order to identify substances capable of  
15           modulating the activity of hROR $\alpha$ 1.

          In Figure 17, 10,000 RK13 cells were plated per well of a 24-well culture plate and transfected with the aid of a cationic lipid with 100 ng/well of reporter vector pG5TkpGL3, 0 to 100 ng/well of  
20           expression vector pGal4- $\phi$  or pGal4-hROR $\alpha$ DEF (supplemented with the plasmid pCDNA3 in order to maintain the number of transcription units constant) as indicated and 50 ng of vector pSV- $\beta$ gal. The total quantity of transfected DNA was brought to 500 ng/well  
25           with the aid of the plasmid pBluescript used as carrier. After incubating for 36 hours, the cells were rinsed, lysed and the luciferase activity of the cellular extracts assayed with the aid of the "Dual-Luciferase™ Reporter Assay System" kit from Promega.  
30           The  $\beta$ -galactosidase activity of the cellular extracts was measured according to the conventional protocol (31).



- 37 -

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## CLAIMS

1. Use of the ROR receptors and/or of their response element or alternatively of a functional equivalent thereof for the screening of substances having antiatherosclerotic properties.
2. Use according to Claim 1, characterized in that the ROR receptor and the response element of the ROR receptor are the ROR $\alpha$  receptor or the response element of the ROR $\alpha$  receptor.
3. Method of screening substances useful in the treatment of lipid metabolism dysfunctions, characterized in that the test substance is brought into contact with a receptor of the ROR family or a response element of the ROR receptor and/or a nuclear factor capable of functionally coupling ROR to the RNA polymerase complex, or a functional equivalent thereof, and then measuring by any appropriate means:
- the binding of the said substance to the ROR receptor and/or its functional equivalent or the binding of the complex formed of the said substance and the ROR receptor to its response element and/or to a nuclear factor capable of functionally coupling ROR to the RNA polymerase complex, and/or
  - the modulation of the transcriptional activity of a gene placed under the control of a promoter comprising the said response element.
4. Method of screening according to Claim 3, characterized in that it comprises the following steps:
- a) a cellular host is transfected with a DNA fragment encoding an ROR receptor or one of its functional equivalents,
  - b) the host in step (a) is cotransfected with a construct comprising a response element of the said ROR receptor and at least one reporter gene,
  - c) the expression of the reporter gene in the presence of the test substance is measured by any appropriate means.

- 48 -

5. Method of screening according to Claim 3, characterized in that it comprises the following steps:

a) a plasmid is created which comprises several copies of a response element recognized by ROR cloned upstream of a strong heterologous promoter placed so as to control the expression of a reporter gene.

b) the construct of step a) is transfected into cells which express ROR naturally or artificially.

c) the host of step (b) is incubated in the presence of the test substance.

d) the activity of the reporter gene is measured by any appropriate means.

6. Method of screening according to Claim 3, characterized in that it comprises the following steps:

a) a plasmid is created which comprises several copies of a response element recognized by ROR cloned upstream of a promoter which controls the expression of a selectable gene.

b) the construct of step (a) is transfected into a cellular host.

c) the host of step (b) is cotransfected with the aid of a vector expressing ROR.

d) The host of step (c) is incubated in the presence of the test substance.

e) Cellular survival in the presence of the toxic prodrug is measured by any appropriate means.

7. Method of screening according to Claim 3, characterized in that it comprises the following steps:

a) a plasmid is created which comprises several copies of a response element recognized by the yeast nuclear factor Gal4 cloned upstream of a strong promoter which controls the activity of the reporter gene,

b) the plasmid is created from a chimera which comprises the DNA binding domain of Gal4 and the DEF domains of ROR which are the ROR domains to which the ligands bind,

c) the plasmids obtained in steps (a) and (b) are cotransfected into a cellular host,

- 49 -

d) the host of step (c) is incubated in the presence of the test substance.

e) the activity of the reporter gene is measured by any appropriate means.

5 8. Method of screening according to Claim 3, characterized in that it comprises the following steps:

a) a cellular host as defined above is transformed with a construct carrying a gene encoding the ROR receptor or its functional equivalent and/or a response element of the ROR receptor, and then

b) the said cellular hosts or extracts thereof are used in "binding" tests based on competitive displacement between a cold ligand and a labelled ligand.

15 9. Method of screening according to either of Claims 4 and 8, characterized in that the construct carrying a gene encoding the ROR receptor or a response element of the ROR receptor also comprises a reporter gene.

20 10. Method of screening according to Claim 9, characterized in that the reporter gene is chosen from the gene for chloramphenicol acetyltransferase, the gene for the luciferase from firefly or from Renilla, the gene for secreted alkaline phosphatase, the gene for beta-galactosidase or the gene for apo C-III.

25 11. Method of screening according to any one of Claims 4 to 10, characterized in that the cellular host is chosen from mammalian cells, bacteria or yeasts or alternatively insect cells.

30 12. Method of screening according to any one of Claims 3 to 11, characterized in that, in addition, the effect of the said substance on the expression of apo C-III is determined by any appropriate means.

35 13. Method of screening according to any one of Claims 3 to 12, characterized in that the ROR receptor and the response element of the ROR receptor are the ROR $\alpha$  receptor or the response element of the ROR $\alpha$  receptor.

- 50 -

14. Use of a substance selected by a method of screening according to any one of Claims 3 to 13 for the preparation of a pharmaceutical composition useful for the treatment and/or prevention of atherosclerosis  
5 in humans or animals.

15. Use of a substance capable of modulating the expression of apo C-III for the preparation of a composition, especially a pharmaceutical composition, useful for the treatment and/or prevention of  
10 atherosclerosis in humans or animals.

16. Use of a substance capable of binding to the ROR receptor or to its response element for the preparation of a pharmaceutical composition useful for the treatment and/or prevention of atherosclerosis in  
15 humans or animals.

17. Use of a method of screening according to any one of Claims 3 to 13 for the characterization, justification and claiming of the mechanism of action of substances having antiatherosclerotic properties  
20 using the ROR receptors and/or their response elements as well as their effect on apo C-III.

Table 1: Sequence of the oligonucleotides

Name	Sequence	5' terminus	3' terminus	Use	Remarks
hC3F7	5'-GATCTCAGCAGGTGACCTTTGCCAGGCCCC-3'	-90	-64	gel shift	
hC3R7	5'-GATCGGGCGCTGGCAAAAGTCACTGCTGA-3'	-64	-90	gel shift	
hC3F8	5'-GATCTGATATAAAACAGGTGCGAACCCTC-3'	-34	-10	gel shift	
hC3R8	5'-GATCGAGGGTTCTGACCTGTTTATA1CA-3'	-10	-34	gel shift	-20, -19, -18
hC3F12	5'-GATCGATATAAAACAGGCAGGAACCTC-3'	-33	-10	gel shift	-20, -19, -18
hC3R12	5'-GATCGAGGGTTCCTGCCTGTTTATATC-3'	-10	-33	gel shift	+ BamHI site
hC3F15	5'-GATCTCAGTGCCTGCTGCTGCTGGAGATGATATA-3'	-56	-27	cloning, gel shift	+ BglII site
hC3R15	5'-GATCTTATATCATCTCCAGGGCAGCAGGCACTGAG-3'	-27	-56	cloning, gel shift	+ BamHI site
hC3F17	5'-GATCTTGCCAGCGCCCTGGTCTCACTGCCTGA-3'	-76	-47	cloning, gel shift	+ BglII site
hC3R17	5'-GATCTCAGGCACTGAGGACCCAGGGCGCTGGGCAAG-3'	-47	-76	cloning, gel shift	
hC3F18	5'-ACGTGTCGACACTAGTGATATAACAGGTCAGAAAGATAAACAGGTCAGAA GATAAAACAGG-3'	-53	-15	cloning	
hC3R18	5'-CGATGGTACCTCGAGGATGTGCTAGCTTCTGACCTGTTTATCTTCTGACCT GTTTATC-3'	-15	-33	cloning	
hC3F20	5'-TCAGCAGGTGATGTTTGCCAGGCCCC-3'	-90	-64	mutagenesis	-78, -79
hC3R20	5'-GGGGCGCTGGGCAAAACATCACCTGCTGA-3'	-64	-90	mutagenesis	-78, -79
hC3F21	5'-GATCTCATCTCCACTGGTCAAGGAGTACCTTTGCCAGGCGCTG-3'	-102	-62	cloning, gel shift	+ BglII site
hC3R21	5'-GATCCAGGGCGCTGGGCAAAAGGTACCTGCTGACCACTGGAGATGA-3'	-62	-102	cloning, gel shift	+ BamHI site
hC3F22	5'-ACGTGTCGACACTAGTAAGGTCACTGCTGACCACTGGAGAAAGGTCACC TGCTGACCACTGG-3'	-76	-100	cloning	

Table 1: 1/2

Name	Sequence	5' terminus	3' terminus	Use	Remarks
hC3R22	5'-CGATGGTACCTGGAGACATGTGTGCTCTCCACTGCTGTCAGCAGGTGACCTT TCTCCAGTGG-3'	-100	-76	cloning	
hC3F29	5'-GGAGATGATATAAACAACACACATGAACCTCTCTGGCTG-3'	-39	-3	mutagenesis	-22,-21,-20,-19,-18
hC3R29	5'-CAGGCAGGAGGTTTCATGTGTGTTTATATCATCTCC-3'	-3	-39	mutagenesis	-22,-21,-20,-19,-18
hC3F30	5'-GGTCAGCAGGTGATGTTTGCAGAGCGCCCTGGGTCC-3'	-92	-57	mutagenesis	-71,-72,-78,-79
hC3R30	5'-GGACCCAGGGCGCTCTGCAAAACATCACTGCTGAC-3'	-57	-92	mutagenesis	-71,-72,-78,-79
hAIF1	5'-GATCCAGACATAAATAGGCCCTGCCAAGACA-3'	-105	-81	cloning, gel shift	+ BamHI site
hAIR1	5'-GATCTGCTCTGCAGGCCCTATTATGTCTG-3'	-81	-105	cloning, gel shift	+ BglII site
82	5'-GATGGGATCCGCCAGGGTTTCCAGTCAAGAC-3'	4232	4282	cloning	pBLCAT4
610	5'-GATCCACACATATATAGTCAAGGAAGA-3'	-36	-12	cloning, gel shift	+ BamHI site
609	5'-GATCTCTTCTCCCTGACCTATATATGTGTG-3'	-12	-36	cloning, gel shift	+ BglII site
613	5'-GATCTGACCTACATTCTAAGCTG-3'			cloning, gel shift	+ BamHI site
614	5'-GATCCAGCTTAGAATGTAGGTCAA-3'			cloning, gel shift	+ HindIII site; pBLCAT4
510	5'-TCGCCAAGCTTCTCGTGTGATCTGCGGCA-3'	215	189	cloning,	pGL3
512	5'-TATGCAGTTGCTCTCCAGCGGTTCCATCTTCC-3'	169	138	cloning,	pBLCAT4
514	5'-CGACTCTAGAAAGATCTTGCCCCGCCACGCG-3'	21	50	cloning,	+ BamHI site
1129	5'-GATCCGGAAGAGTGTGTCACCTGGGGCACGA-3'			cloning, gel shift	+ BglII site
1142	5'-GATCTGTCGCCCAAGTGACACACTTTTCCG-3'			cloning, gel shift	+ BglII site
1126	5'-GATCTCGGCTAGGAGTGACACACTTTTCCG-3'			cloning, gel shift	+ BamHI site
1132	5'-GATCC <sup>Table 1</sup> GGAAAAGTGTGTCACCTAGCCGA-3'	Table 1		cloning, gel shift	+ BamHI site

Table 1: 27



- 53 -

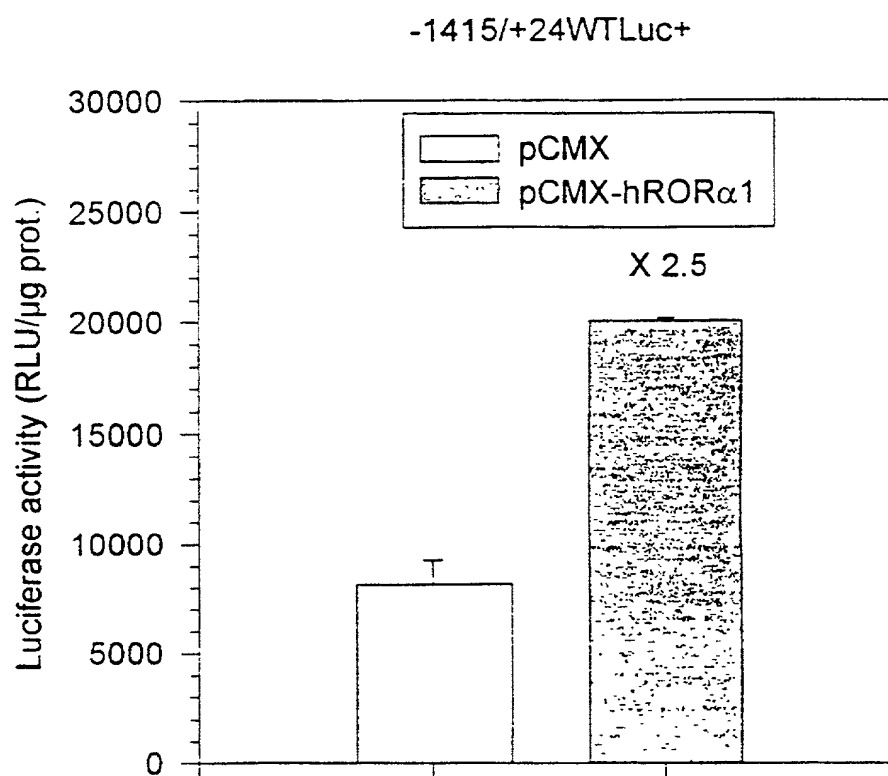
Table 2: Composition of the double-stranded oligonucleotides used in gel retardation

Name	"sense" oligonucleotide	"antisense" oligonucleotide
hCMITaTaWT	hCMIF8	hCMIR8
hCMITaTaKO	hCMIF12	hCMIR12
hCMIC3PDR1WT	hCMIF7	hCMIR7
hCM(-62/-102)	hCMIF21	hCMIR21
RORECons	613	614
rAITaTaWT	610	609

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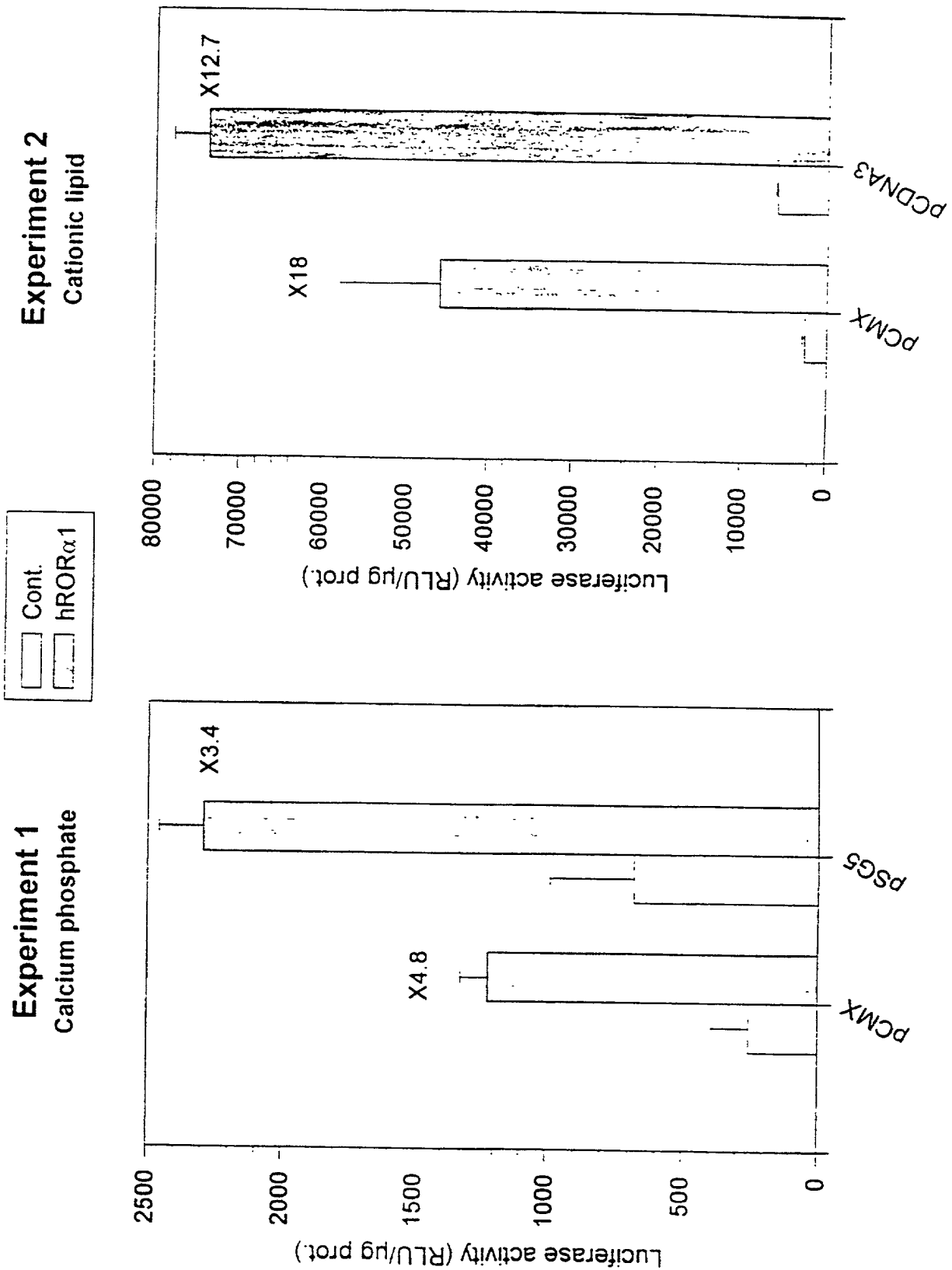
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Fig.1



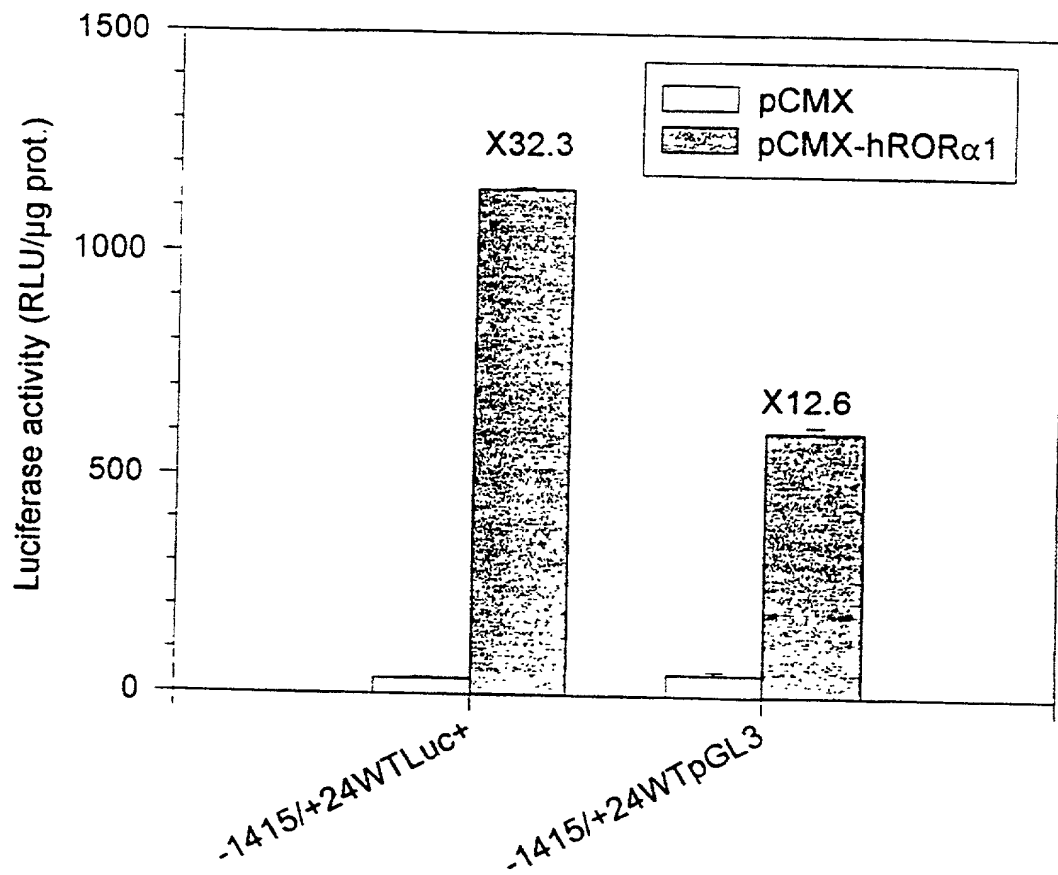
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Fig.2



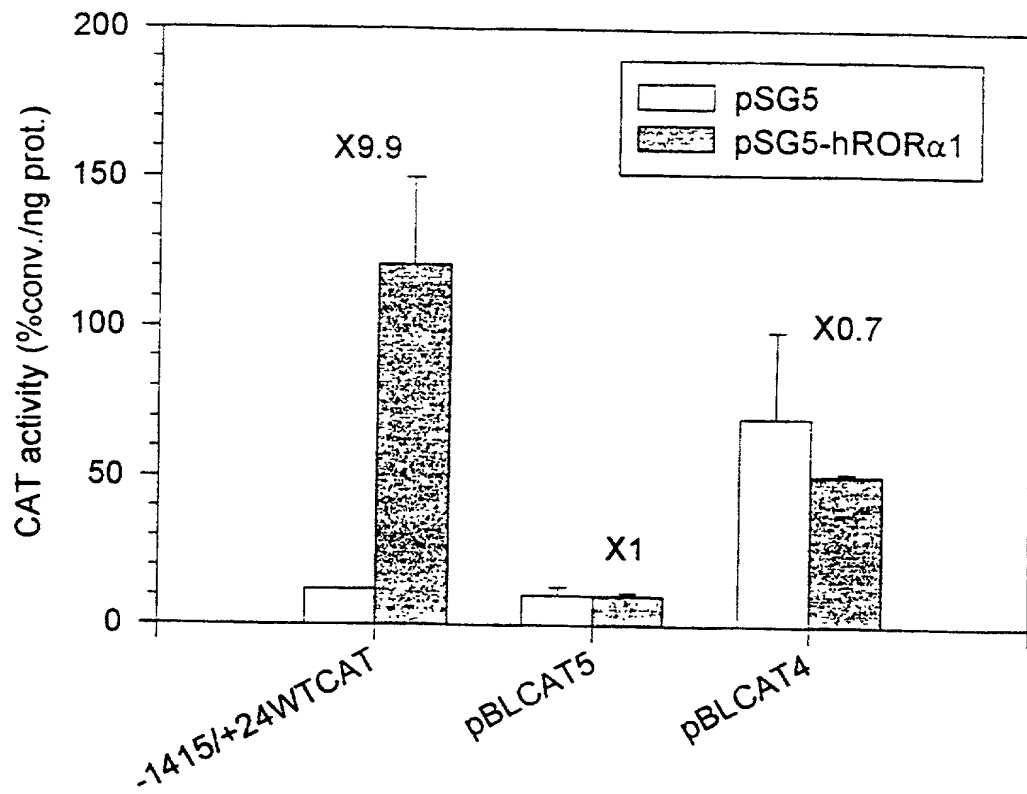
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Fig.3



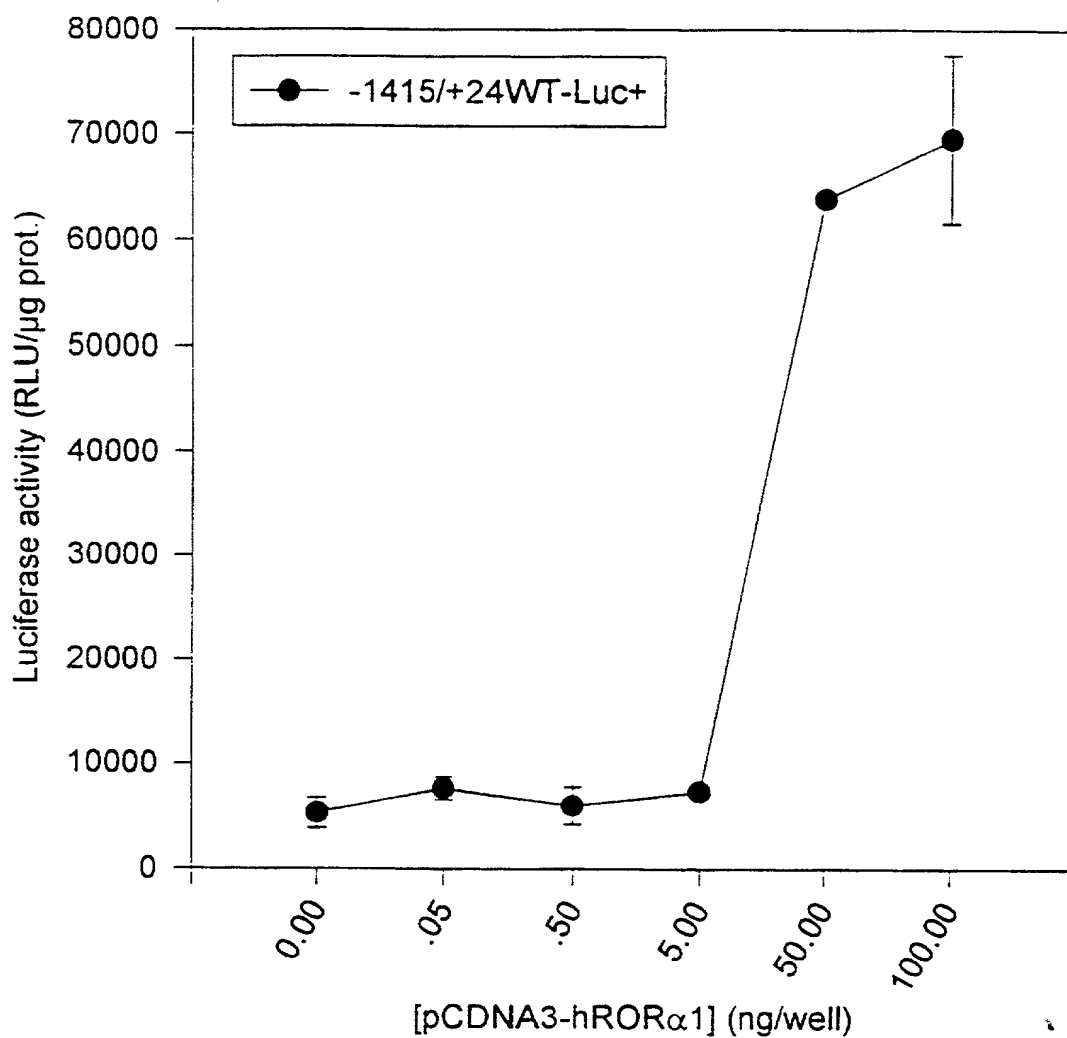
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Fig. 4



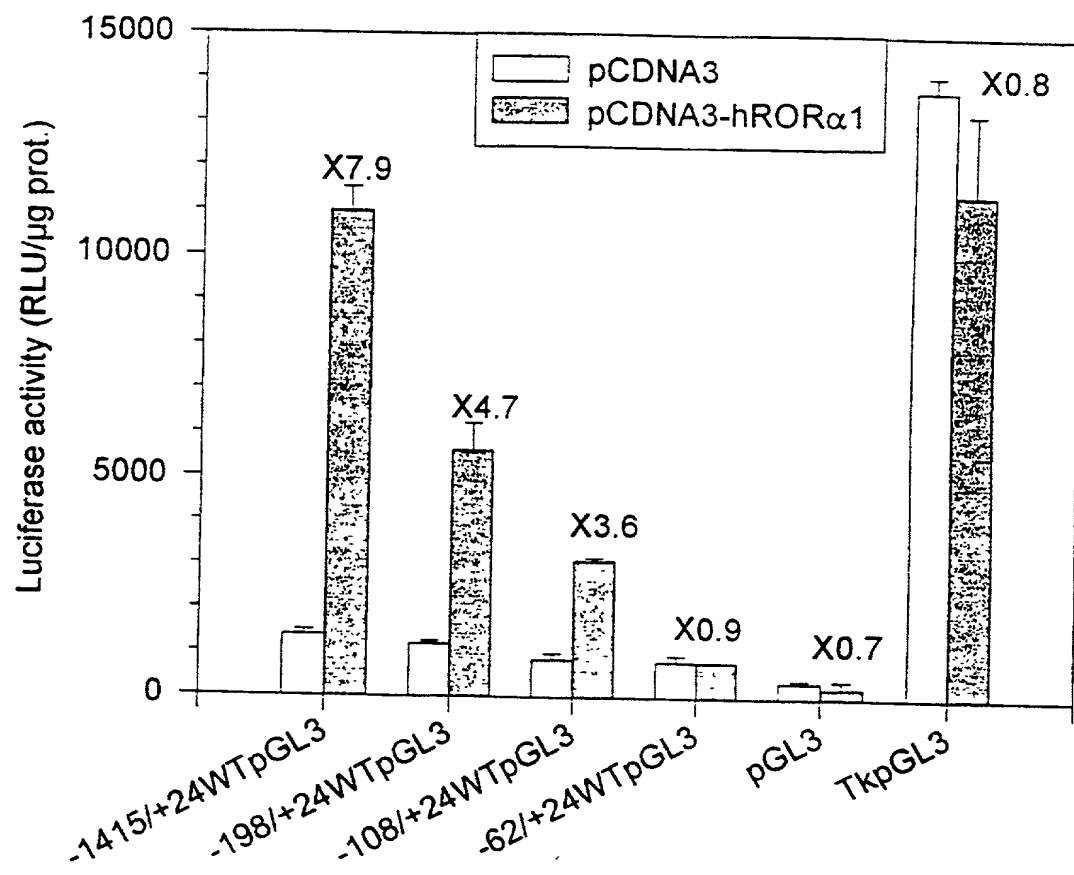
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Fig.5



6/17

Fig.6



7/17

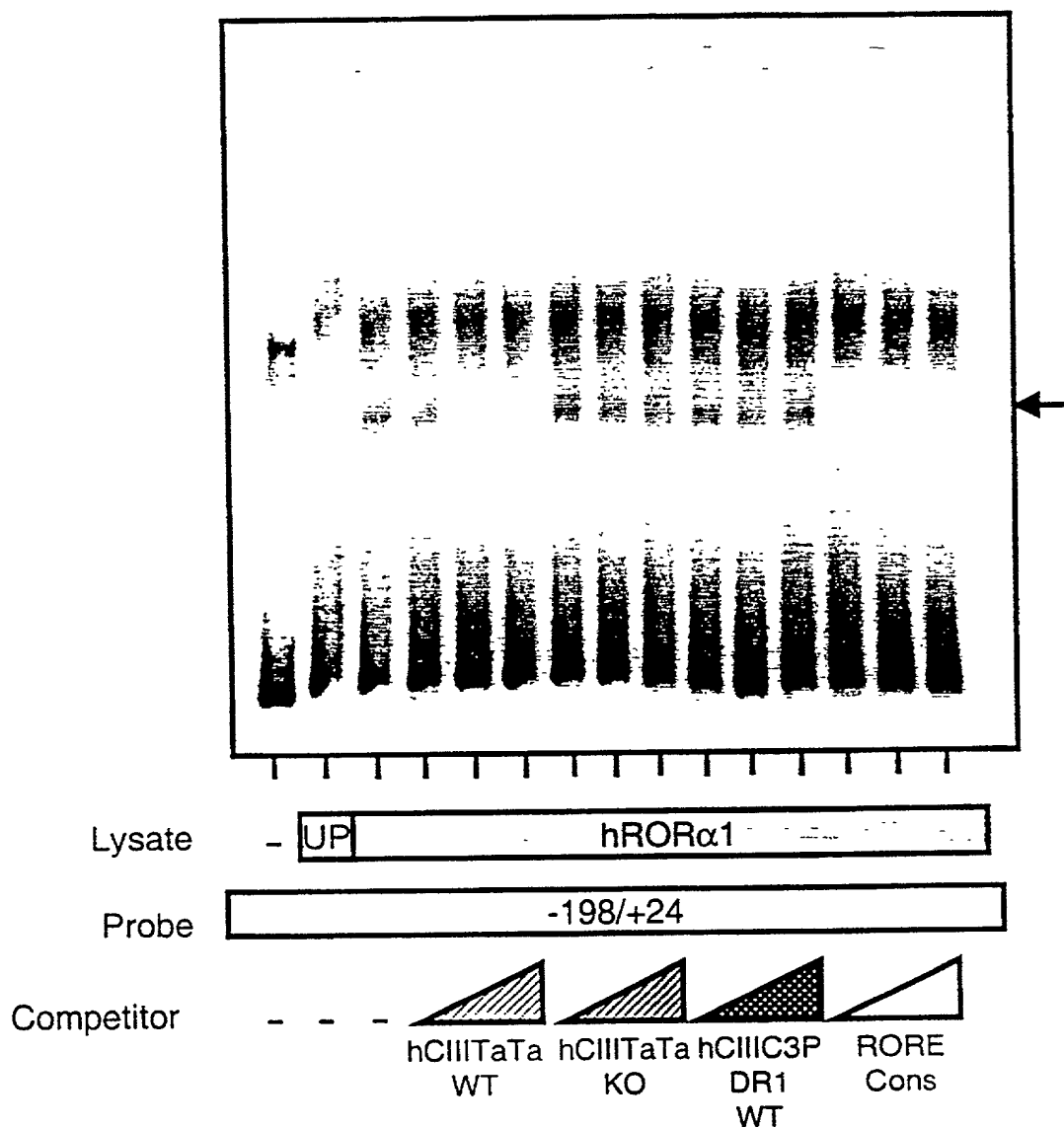


Fig.7



8/17

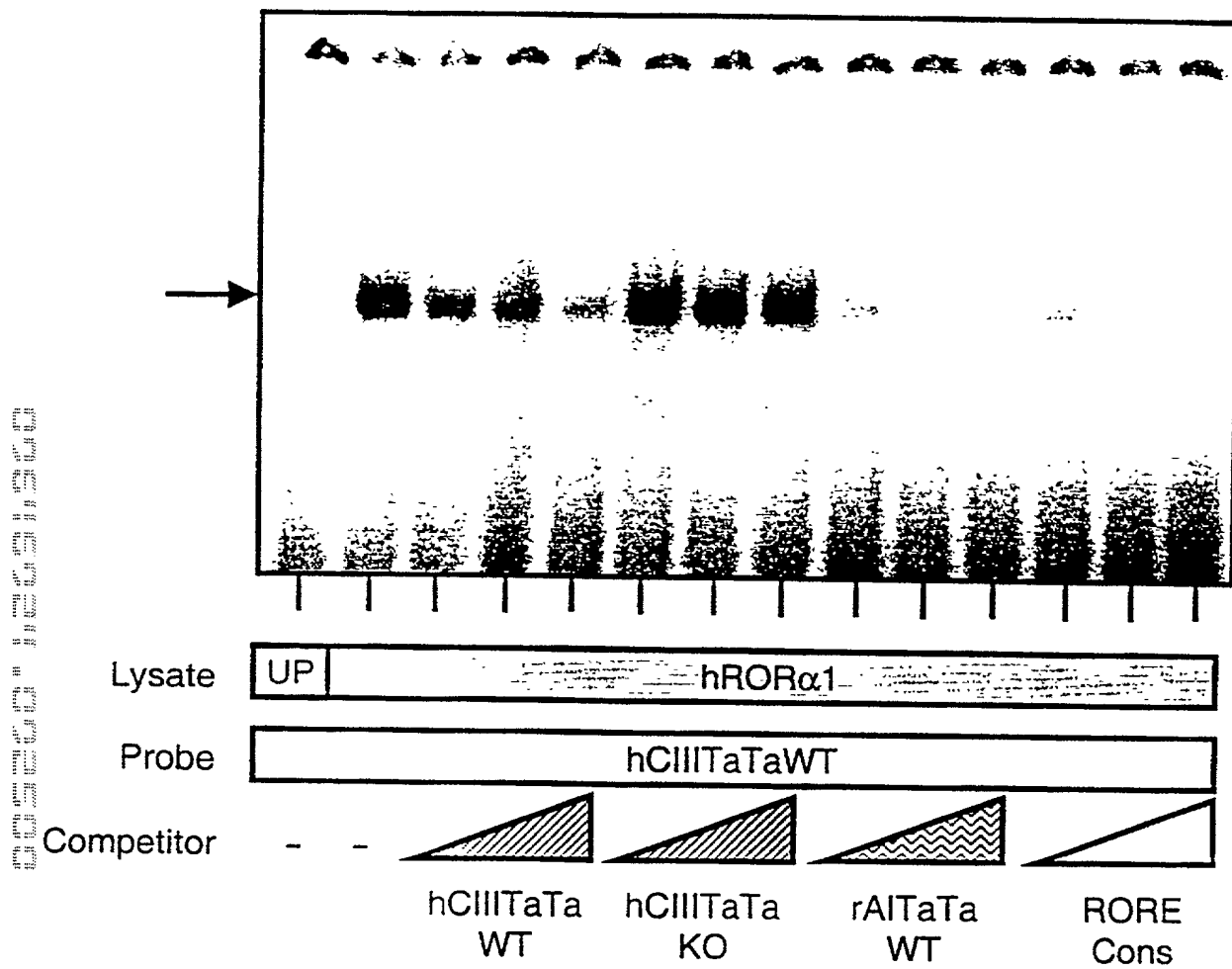


Fig.8

9/17

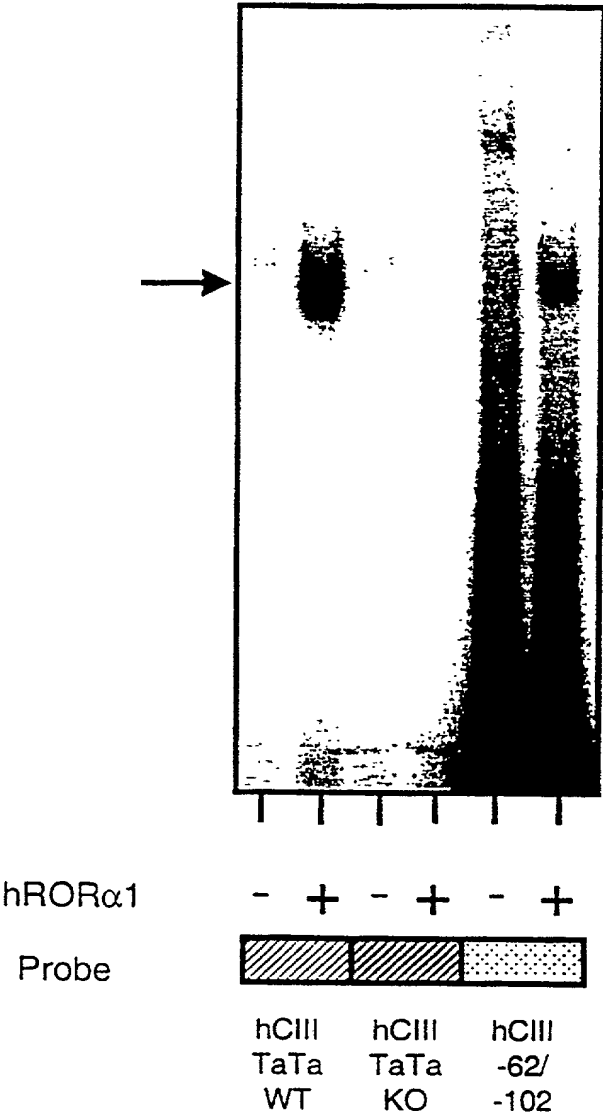


Fig.9

10/17

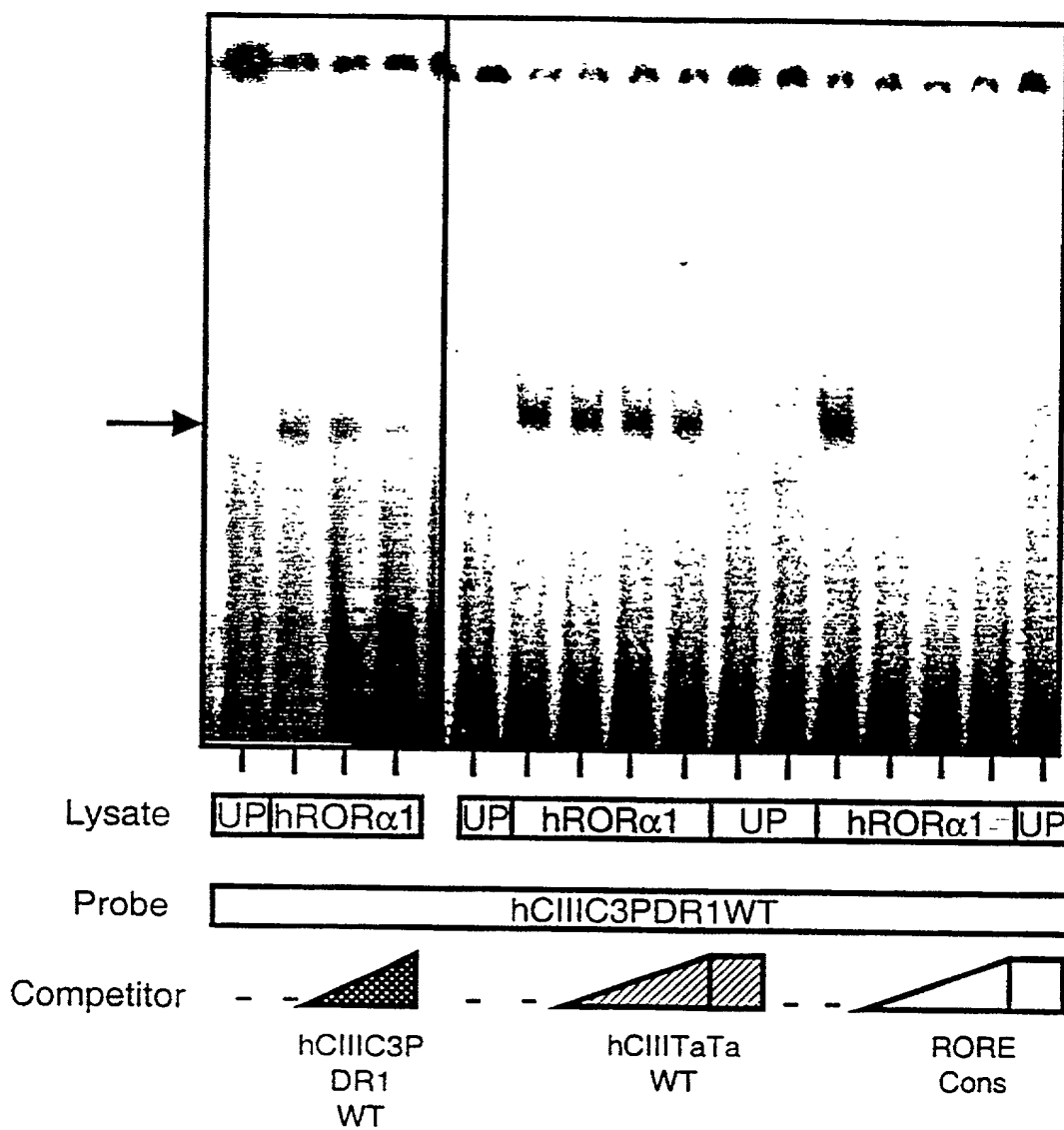
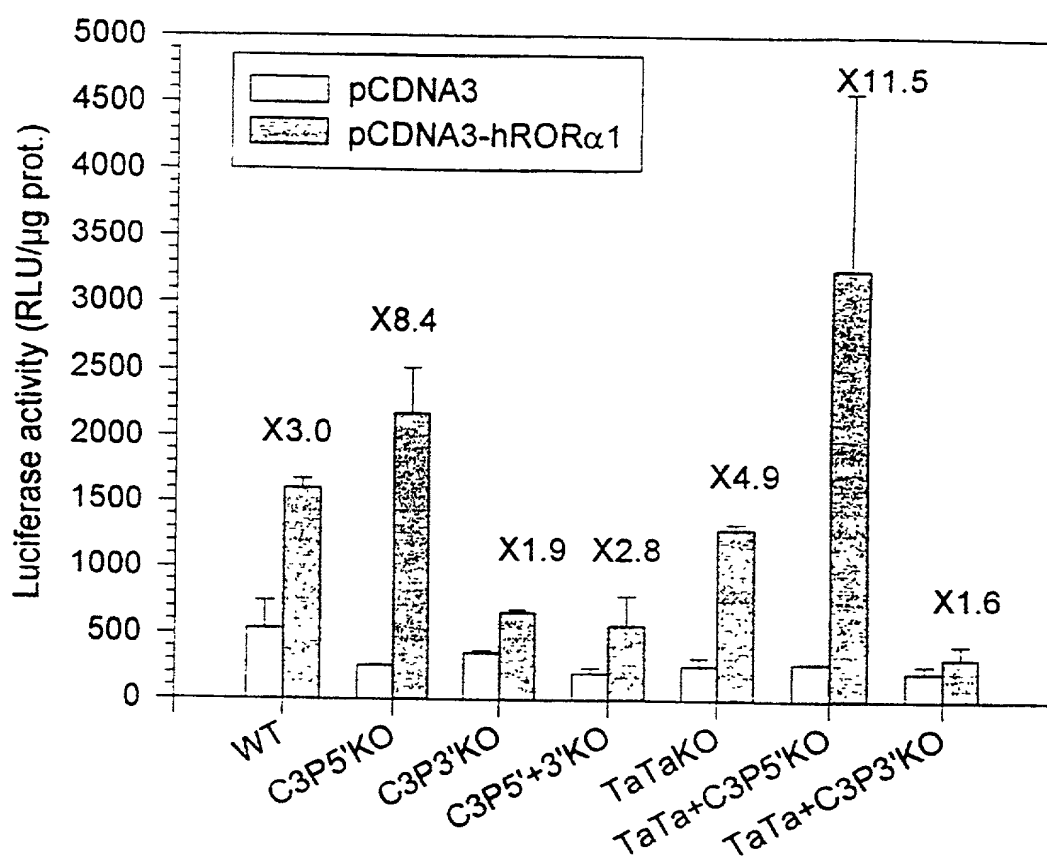


Fig.10

Fig.11



12/17

Fig.12

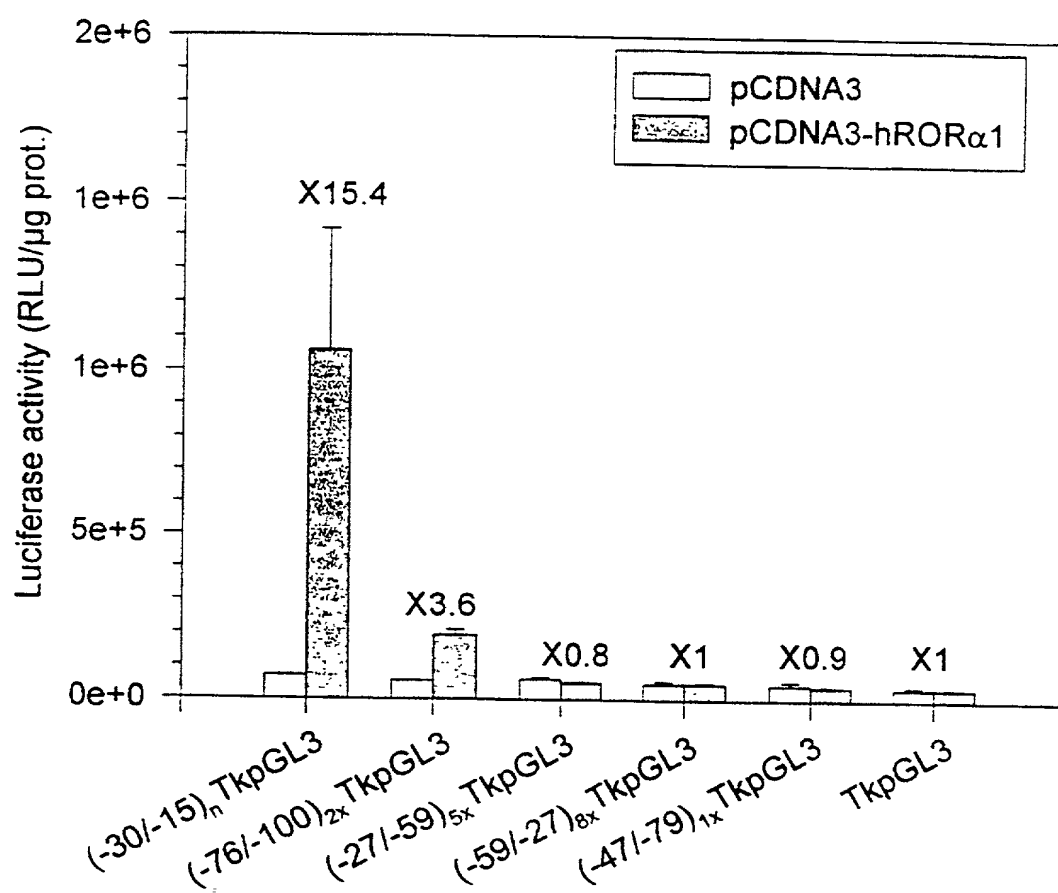
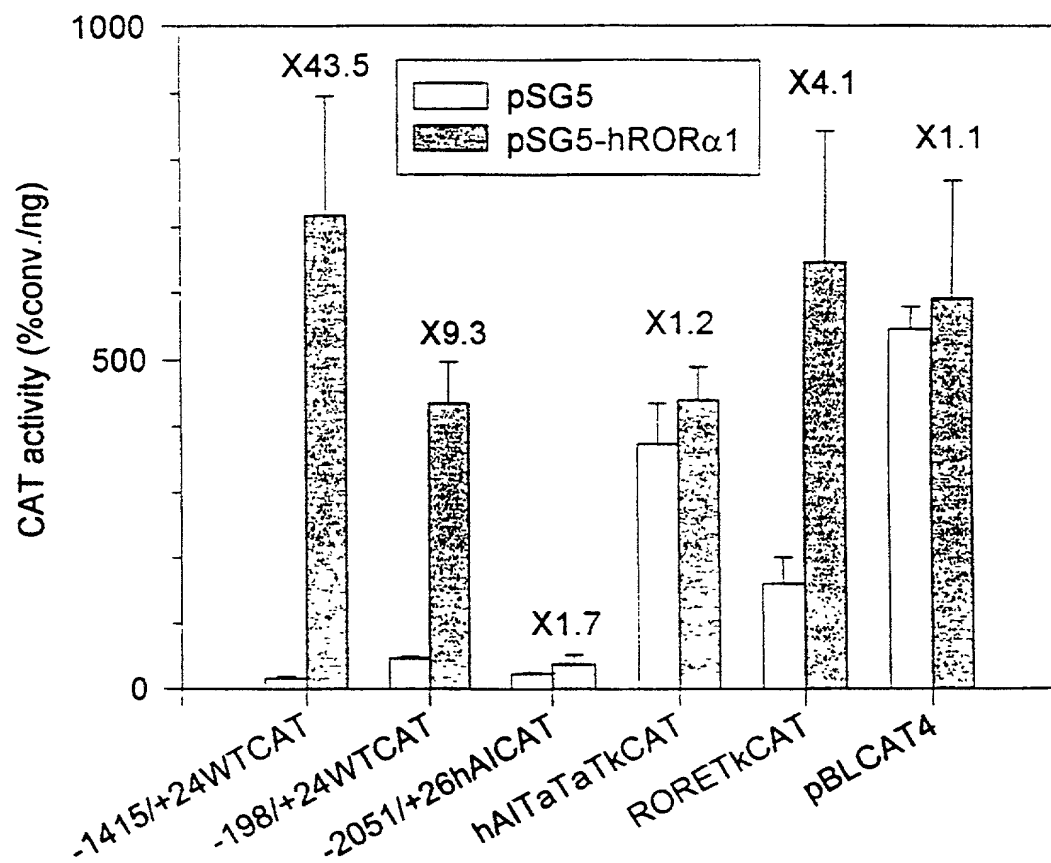
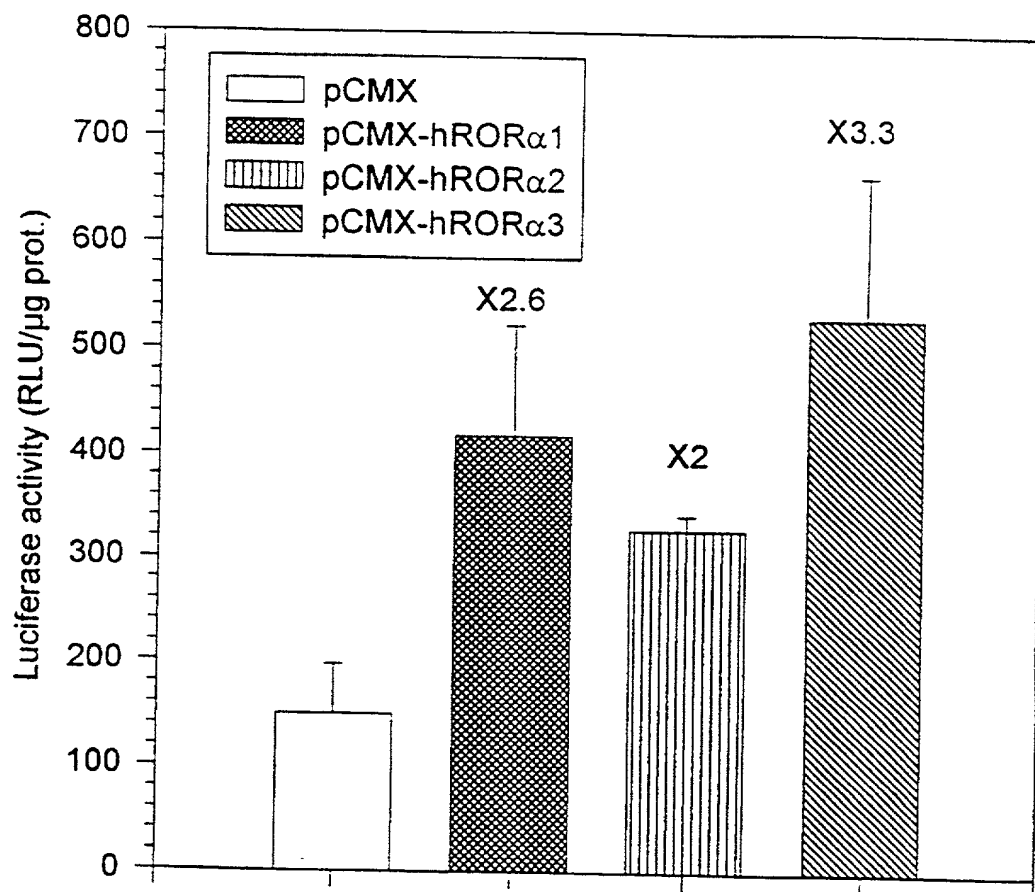


Fig.13



14/17

Fig. 14



15/17

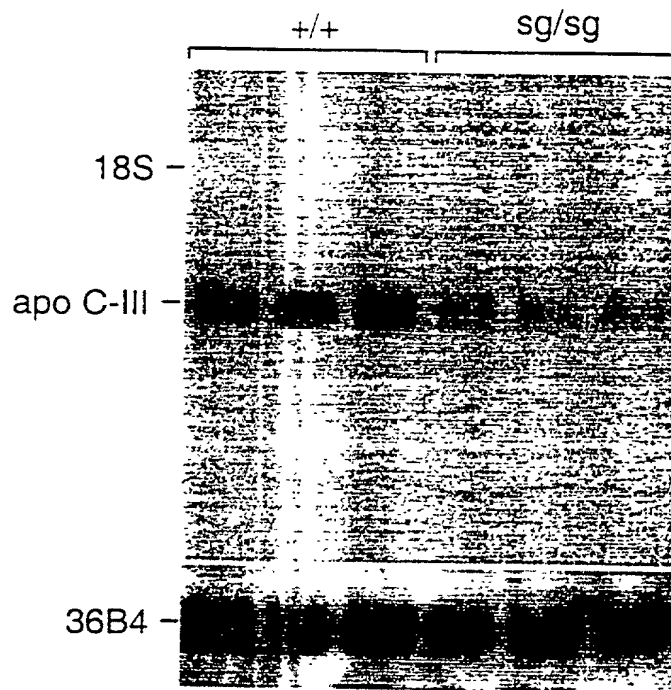
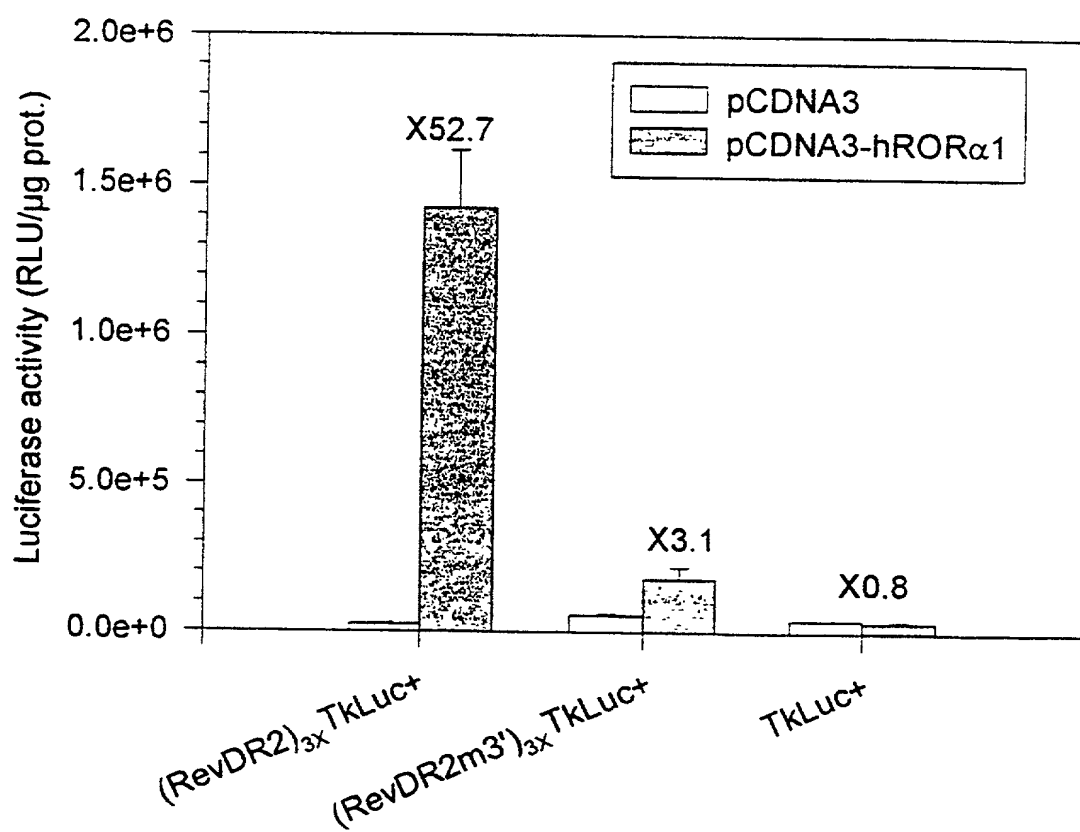


Fig.15

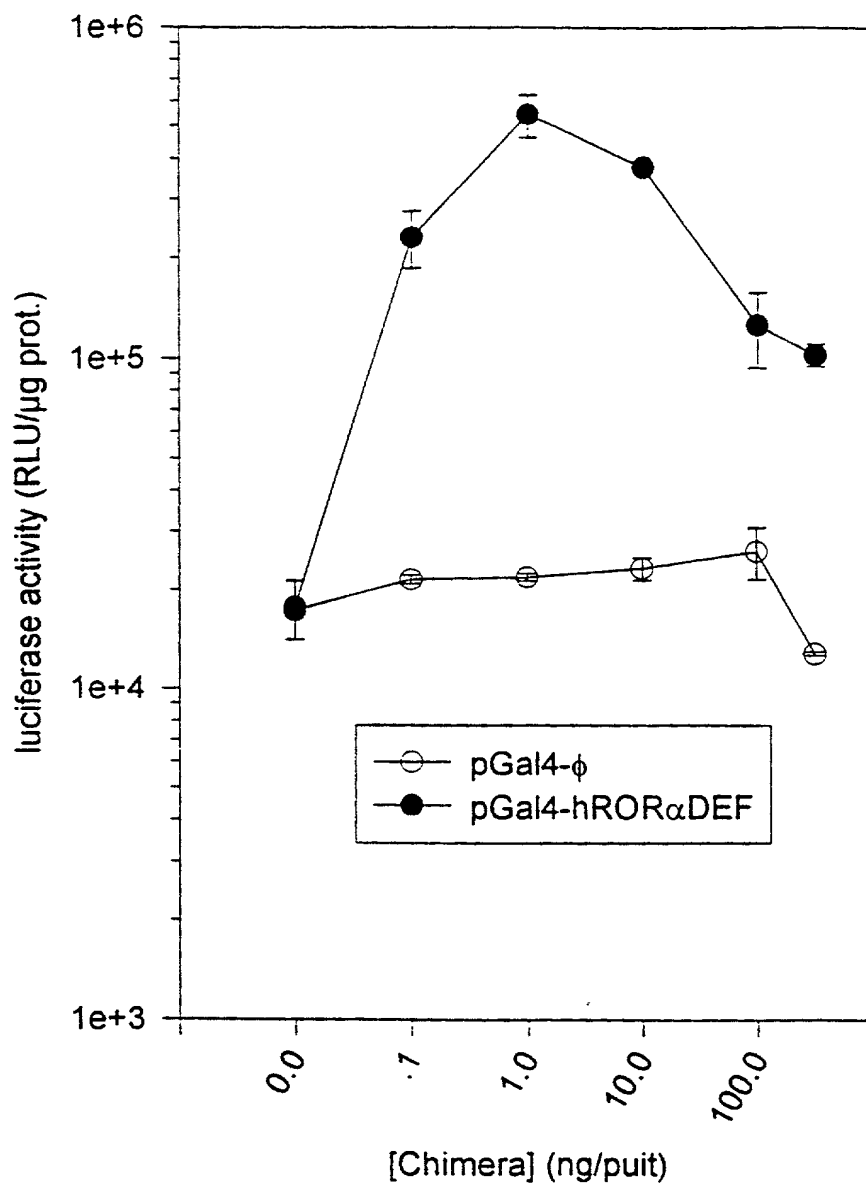


Fig. 16



17/17

Fig.17



Docket No.

MERCK

# Declaration and Power of Attorney For Patent Application

## English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Use of receptors of a ror family for screening substances useful for the treatment  
of atherosclerose

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on 24.03.99 as United States Application No. or PCT International  
Application Number PCT/EP99-02001  
and was amended on \_\_\_\_\_

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

<u>FR 9803475</u>	<u>France</u>	<u>29.03.1998</u>	<input type="checkbox"/>
(Number)	(Country)	(Day/Month/Year Filed)	
<u>                    </u>	<u>                    </u>	<u>                    </u>	<input type="checkbox"/>
(Number)	(Country)	(Day/Month/Year Filed)	
<u>                    </u>	<u>                    </u>	<u>                    </u>	<input type="checkbox"/>
(Number)	(Country)	(Day/Month/Year Filed)	

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112. I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

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\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

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(patented, pending, abandoned)

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\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (list name and registration number)

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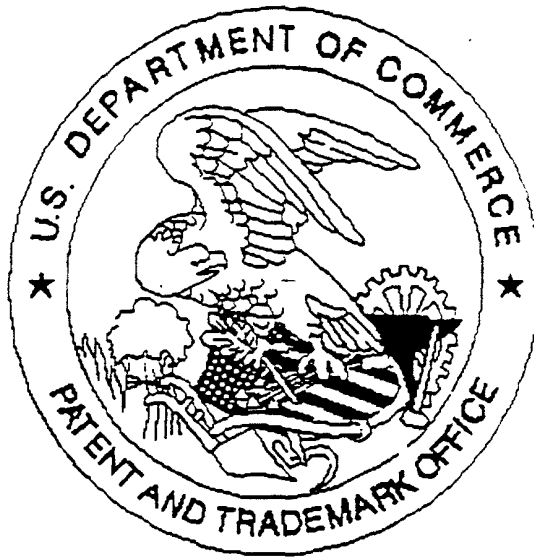
Arlington, VA 22201

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